

Region C Workforce Development Board

Workforce Innovation and Opportunity Act

CONFIDENTIAL PROPOSAL



March 16, 2020

Program Services Proposed:

ADULT and DISLOCATED WORKER PROGRAM SERVICES
PY2020-2021

Delivered To:
Region C WDB
Attention: Steve Lockett
PO Box 841
111 West Court St.
Rutherfordton, NC 28139

Electronic Copy

1.0 Proposal Cover Sheet

**NCWorks Career Center Operator And
Adult/Dislocated Worker Services
Funded Under the
Workforce Innovation and Opportunity Act**

The following proposal is hereby submitted in response to WIOA Title I services to include Adult, and Dislocated Workers.

Agency Name: Two Hawk Workforce Services
Street Address: 118 W. 5th Street, Lumberton, NC 28358
Mailing Address: same
Contact Person(s): Sherwood Southerland
Telephone Number(s): 910-671-1692
Fax Number(s): 910-738-2880
E-Mail: sherwood.southerland@twohawk.net
Federal ID#: 81-1236226

Please indicate with a "Yes/No" response the counties where you are proposing to provide the WIOA Title 1 Services.

Cleveland Yes McDowell Yes
Polk Yes Rutherford Yes

Type of Organization. Check the appropriate box which describes your organization.

() Unit of Local Government () Private Non-Profit Organization
(☒) Private For-Profit Organization () Other (explain): _____

Proposed Number of Adults/Dislocated Workers to be served thru 6/30/20:

Adults 179 Dislocated Workers 80

Are funds from other sources being requested to implement this program? Yes ☒ No

If the answer to the above question is yes, please indicate sources, amounts and expected dates of funding approval.

<u>Other Sources of Funds</u>	<u>Expected Amount</u>	<u>Approval Date</u>
\$ _____	\$ _____	_____

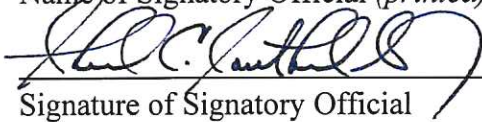
Proposed Adult Services Budget: \$ 509,000.00
Proposed Dislocated Worker Services Budget: \$ 214,000.00

CERTIFICATION: The information contained in this proposal represents the organization and its proposed operating plans and budget necessary to conduct the proposed WIOA Title I

Adult, Dislocated Worker and Youth Service Activities described herein. I acknowledge that I have read and understand the requirements of the Request for Proposal (RFP) and that the organization is prepared to implement the proposed activities as described. I certify that I am authorized to sign this proposal on behalf of the organization submitting the proposal, and further certify that the responding entity named above waives any right to claims against the Region C Council of Governments and the Region C Workforce Development Board members in their individual capacities. The Proposal is firm for a period of at least ninety (90) days from the closing date for submission.

Sherwood C. Southerland, Jr.

Name of Signatory Official (*printed*)



Signature of Signatory Official

Director

Title

3/15/2020

Date

2.0 Information About Your Organization

Section 2.0

Information About Your Organization

1. A description of the organizational structure and why it is structured this way. Is the organization for profit or non-profit? Explain how this organizational arrangement supports the NCWorks business model.

Two Hawk Workforce Services, LLC (THWS) is a private-for-profit company that operates alongside its parent company, Two Hawk Employment Services (20th year of operation); THWS began June 2014. We are Native American owned, certified Minority Supplier Development Council (MSDC) business, with our corporate office located in Lumberton, NC. We formed THWS in June 2014 to contract WIA/WIOA programs, initially starting with an Adult/DW contract in Lumber River in July 2014, and now expanded our WIOA operations to include Youth programming and Center Operations Management. Following is an overview of our expanded contract experience to date: (a) Lumber River A/DW July 2014 to present; (b) Lumber River Center Operations July 2019-present; (c) Gaston County A/DW July 2015 to present; (d) Cape Fear/Columbus A/DW July 2015-June 2018; (e) Triangle South A/DW July 2015 to present; (f) Triangle South Youth November 2018 to present; Turning Point A/DW July 2016 to present; (g) Cumberland County Center Operations July 2017-present; (h) Guilford County Center Operations July 2019 to present.

Coordinated by our Director, our corporate personnel oversee all aspects of the WIOA contracting business including engaged oversight of program operations at all locations. Our team brings a wealth of workforce development, business management, and programmatic understanding to our customers; that connectivity translates into better service performance, ensures strong compliance, positive work relationships locally, and program productivity. We provide flexibility to be adaptive to each customer's (WDB's) specific needs, focus points, and processes—we do not take the approach of telling you how things should be done; rather, we adapt to your area, environment, listen to what you want, and then work with you as a team member to achieve the desired results. THWS has significant professional experience, knowledge and understanding of workforce development, job placement, employer/business relations, career center management and local/regional collaboration and administration.

Mr. Sherwood Southerland is the Director for Two Hawk's workforce programming business, bringing thirty-five plus (35+) years of experience in all phases of the workforce development arena. Retired from the NC Department of Commerce-DWS as Regional Manager, he was last overseeing approximately 24 offices in eastern North Carolina and working collaboratively with six (6) workforce boards and their staff, to ensure the Career Centers were established and ISD was implemented. He also has 16 years of practical experience managing local career centers in both Shelby and Charlotte. While in Charlotte, Mr. Southerland oversaw one of the earlier JobLink Center certifications for three sites in the Charlotte-Mecklenburg WDB area; he brings a solid background of understanding as it relates to building partnerships that transcend funding silos and focuses on ensuring high level customer service. He has served on numerous WFB'S across the state and advised many others. Mr. Southerland also co-chaired a key committee, made up of 20+ various representatives of all phases of workforce development in NC, which developed key recommendations about how the new workforce system should function prior to ISD adoption by the State. He is well-respected for his understanding of key workforce issues, ability to work cooperatively with all partners, and his transition to the private sector has

strengthened his understanding and focus on business-driven needs, productivity, and ensuring high quality service. He has guided our WIOA related business such that we have been able to grow into multiple workforce board areas and expand our services to cover Adult/Dislocated Worker, Youth, and Center Operations Management.

Our corporate staff also includes two (2) individuals that serve as Assistant Directors for Mr. Southerland. Ms. Lindsey Almond serves as our Assistant Director for Program Administration & Operational Performance. Ms. Almond brings us recent experience as Vice-President of Operations for the Fayetteville Cumberland Economic Development Corporation. She also has prior experience as an Economic Development Coordinator in North Carolina. With 10+ years in economic and workforce development, she has experienced integral involvement with working directly with business/industry engagement, program planning and design, and promoting business engagement and partnerships. Ms. Almond also brings prior experience as a Business Engagement & Development Manager for the workforce development board in the Southern Maryland Workforce Region. In that role, she was actively engaged in the expansion of sector strategy and career path offerings, oversaw WIOA operations of a Career Center, served as the Equal Opportunity Officer, successfully managed multi-million dollar discretionary grants from DOL, coordinated with Board members, and utilized GeoSolutions tools for data reporting and analysis. Additionally, she has been trained in federal grants management from Grant Management USA, as well as training in Equal Opportunity investigations from the EEOC.

Ms. Debbie Normandia serves as our Assistant Director for Programmatic Performance and Quality. Ms. Normandia came to us from her role as Operations Manager for a community based organization in the Charlotte area focused on working with Latin Americans to assist them with gaining job skills, community services and other supportive services to facilitate both personal/economic achievement. Prior to this work, she has 8+ years working with a national workforce development group where she served as a WIOA Project Director, Career Center Manager, and Talent Development Manager within North Carolina. In addition to those skills, she also has experience in Florida as a Quality Analyst for a workforce development board, where her focus was on monitoring WIA programs, developing standard operating procedures for staff and maintaining compliance with programmatic procedures and regulations.

We are pleased to have Ms. Aletha Poole and Mr. Neal Anderson working with us as Contract Implementation Managers. They are responsible for coordinating the deployment and implementation of our local contracts, while ensuring the success and productivity expectations through direct and regular contact with our funding customers. Ms. Poole has been engaged with WIOA services for the past seven (7) years, progressing from WIOA Career Advisor, to WIOA Supervisor, Business Services Representative and most recently Career Center Operations Manager. Prior to her WIOA experience, Ms. Poole had 23+ years of Operations Management experience with Wal-Mart throughout the east coast. She is particularly skilled in WIOA implementation and OJT/WEX marketing to businesses. Mr. Anderson brings 11 years of workforce development experience through work with Division of Workforce Solutions. Mr. Anderson progressed from Employment Consultant to Career Center Manager during that time and has experience overseeing ISD implementation, WIOA programming, and WDB experience. Prior to that career, Mr. Anderson held upper management positions in human resources (26+ years) with organizations like Milliken & Company, Teledyne, and ClubCorp, so he brings a strong understanding business needs from the human resource perspective in the private sector.

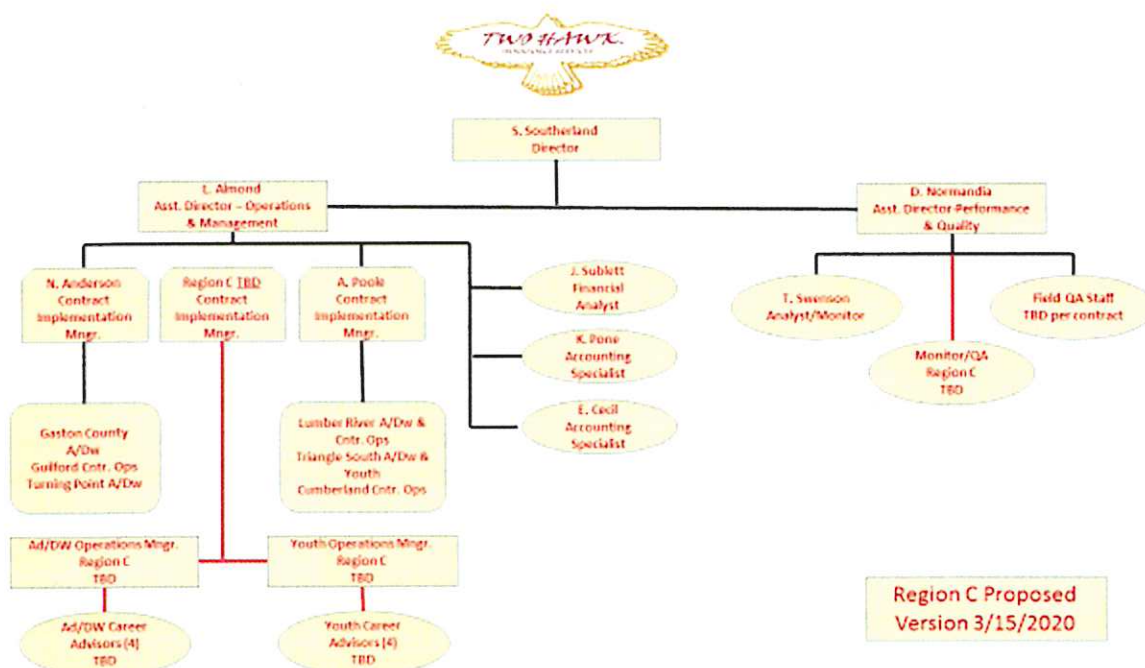
Finally, we have a strong financial accountability team, starting with our Controller, Ms. Carol Lucas. Ms. Lucas coordinates our billing, accounts payable, bank reconciliations, tax compliance and other pertinent financial matters. She has extensive experience in the banking industry where she managed tax reporting for the entire corporation and all subsidiaries in multiple states. She was also responsible for all general ledger accounts, cash management, financial reporting, and budgeting. Overall, Ms. Lucas brings over 30 years of highly responsible banking and accounting background. Joining her is Mr. Joseph Sublett, our Finance Specialist. Mr. Sublett holds a BS degree in Business Administration with a Finance concentration. He has experience working with organizations like AT&T providing financial data analysis, marketing efficiency results, budget development and oversight for project implementations, and quality audits.

The above-mentioned personnel and their relevant experience clearly shows we have the well-rounded knowledge and understanding it takes to design and deliver an effective and efficient WIOA program. The workforce development specific experience we bring to you, coupled with our own corporate needs to develop, negotiate and coordinate effective staffing relationships with a wide variety of corporate customers fully demonstrates the attributes needed to be successful in managing and delivering a high performance program for your board that will always be focused on accountability, performance and accuracy. We pride ourselves on our ability to cooperate and work in unison with our customers to meet their unique needs and thereby, establish successful partnerships and contractual productivity. We are skilled at overall site management and providing direct frontline operations. We WANT your Career Center to be a successful, inviting place where people find jobs and long-term employment.

We support on-going staff training, career development, and overall staff education efforts. We do establish our own set training meetings on a regular basis for all staff. During these sessions we focus on review and retraining in the specifics of case management/career planning, data validation, online record maintenance, and employment focused activities, along with inclusion of trainings on other Center service provisions to promote integrated service delivery. Likewise, our staff will be cooperative and attentive to Center staff meetings and trainings in line with all ISD needs in the Center. We will seek guidance from Cumberland County board staff to provide/advice us on training design so as to ensure adherence to the Local Area policies and procedures. We also endorse and strongly encourage all staff to gain the Career Development Facilitator (CDF) certification and actively schedule enrollment as available. THWS supports webinar offerings and training seminars when applicable. We also have staff attend the yearly state workforce conference and do participate with NCETA conferences and other regional and national events, budget permitting and Center needs considered.

2. An organization chart that shows graphically how your organization operates. Identify the principals and leadership, if any that would be assigned to work on Region C Workforce Development's contract?

The chart on the following page demonstrates the capacity of our organization from the Corporate level down. These are the principal figures who will indirectly support the contract with the Region C WDB.



Based on our understanding of your current ISD process and delineations, we have developed our staffing proposal that we believe will provide program functionality and addresses Center manpower needs. You will see in the chart below the positions we are recommending; these positions will provide strong operational oversight, quality assurance, quality program implementation and Center ISD functionality.

Position Title	# of Positions	F/T or P/T	Notes
Adult/DW Operations Mngr.	1	F	Oversees Adult/DW service implementation
Career Advisor - Adult/DW	4	F	Direct program service delivery
Monitor/Quality Assurance- A/DW & Youth	1	F	Provides Q/C oversight & internal monitoring for files & validation data, policy adherence, etc.
Youth Operations Mngr.	1	F	Oversees Youth service implementation
Career Advisor - Youth	4	F	Direct program service delivery
Total Positions	11	F	

THWS does not have these existing staff persons on board currently, so we will need to recruit and prepare for operations to commence July 1st, 2020. We do not see any issue in being able to meet this timeframe given the due date of this proposal and our experience with other startup operations. Regarding any existing contracted staff, THWS is interested in acquiring educated, experienced, and motivated team members, so we would be willing to consider any current staff if they are interested in being considered. We will also utilize other recruitment

sources/tools, including the Career Center, to actively seek the best candidates to join this effort and provide high quality services to the customers.

As noted in Question 1 above, we have highly experienced and knowledgeable corporate staff that will have significant and regular engagement at multiple levels with your program operations. Additionally, our Contract Implementation Managers (CIM) will have dedicated contract responsibilities to ensure we are fulfilling all program services and obligations fully.

3. A description of how your organization's mission supports that of Region C Workforce Development. Describe how you will ensure that your organization's mission, vision and values will not supplant or confuse the Workforce Board's mission in operation of this project.

The Two Hawk Workforce Services' (THWS) mission is simple – we are dedicated to providing superior customer service to our clients and customers by delivering exceptional, value-added services. Through our commitment to excellence, we expect our staff to offer the highest level of quality, expertise and customer satisfaction daily; this applies to our customers, employees and the communities we serve. We formed Two Hawk Workforce Services in June 2014 to contract WIA/WIOA programs. Initially starting with an Adult/DW contract in Lumber River in July 2014, we are currently in our 6th year of operation and have grown our WIOA operations to now include Youth programming and Center Operations Management.

Region C's goals for workforce development mirror those of Two Hawk in that we believe in providing services to all people in order to assist or equip them with the skills they need to be able to provide for themselves and their families. This is effectively aligned with your purpose of meeting employer needs by improving workforce development responsiveness through leveraging resources and engaging partners committed to developing and strengthening your area's labor force. During the past 6 years our WIOA funded staff have been working in multiple Career Centers as full members of the local teams assisting job seeking customers with employment services, career planning, training assistance, etc., and connecting with other community services to assist customers. That same staff has provided business services to local employers through the Center by developing the skills of job seekers and connecting that to businesses' manpower needs through community college training services and other approved vendors. We are clearly and actively engaged with local Career Centers across North Carolina and very familiar with the Integrated Service Delivery (ISD) practices, Center needs and challenges. We also bring a private sector focus on what we believe is the key priority for the new WIOA-employability, job placement focus, and Career Center effectiveness.

Region C seeks to provide a Career Center that is a meaningful labor exchange and career builder/enhancer for its local citizens. You want to establish a Career Center operation service delivery staff that functions as a team and becomes the "go to" point for all employment and career services in the Region C area. You need a service delivery partner that is equally committed to those principles and wants to see you be successful, while at the same time believes customers deserve the best service access possible every day--Two Hawk Workforce Services is that partner. We know what needs to be done and recognize the importance of Center productivity. THWS will work with you and for you, not against you; and we do not try to make the work any more complicated than it needs to be.

4. A description of your financial stability and any comments you wish to make about your credit rating, your payment policies, and any recognition you may have received from accrediting or other bodies for organization or financial excellence. Has your organization experienced any financial difficulty in the past five years?

In our first year of operation our sole grant had an operational budget of approximately \$1.5 million; now in our 6th year, we are overseeing approximately \$4.8 million. Of that amount, contracts over \$500K have ranged from 50%-66% presently during the past 3 years.

THWS is set up to operate its programming based solely on WIOA contractual funds. It is our customary practice to use our own cash on hand as the primary source of program operations and submit monthly invoices for reimbursement. We have a sizeable line of credit through our banking partner that can be used as a secondary source of funding should expenditure needs require. We can also provide you with letters of financial reference that will substantiate our financial worthiness if needed. We have definitely not had any financial issues or difficulties within the past five (5) years. Our yearly independent audits have provided us with clean audit opinions.

THWS is keenly aware of the need for fiscal integrity and reporting. We work diligently to maintain our monetary obligations and payments in an orderly and fiscally responsible manner. We currently use a system of case manager preparation of invoices and requisitions, reviewed by supervisory or QA staff, then submission to our corporate office for final review and payment. It should be noted that our payment requisitions are designed to include Case Note ID and Activity Code that cross-references to the customer's NCWorks Online file where such payments can be cross checked for quality and accuracy. We can provide timely financial reports on obligations and payments to your organization, since we keep an internal tracking of this information on a regular basis. We have developed our own internal, cloud based mechanism that allows for the input of monetary obligations by staff, in a real time mode, which allows us to readily monitor and track these financial obligations at any point in time, this includes the who, what, when and where involved for the actual payment.

Payments to participants are largely made for WEX, travel reimbursements (i.e. supportive services) and similar items. In our staffing business, we are responsible for highly accurate maintenance of employee work time and wage payments. We have brought this same attention and accuracy to our WIOA operations, utilizing definitive recording instruments for maintenance of work/attendance time and calculation of participant and vendor payments. The programmatic (participant services) expenditure invoices are initiated by the Career Advisors, reviewed by the line supervision/QA, and forwarded to our Finance department for final review and payment authorization following the method described in the preceding paragraph. Payment requisitions are sent to our Controller for check entry; checks are subsequently printed by our Chief Operations Officer, then signed by our CEO for disbursement. As invoices are reviewed and processed for payment, each payment is entered specific to county, program and line item. This information is maintained by our accounting software and we will produce a monthly report that corresponds directly to the Region C invoicing guidelines.

5. Include references from at least three organizations that have contracted with your organization to provide services similar to those proposed (name of organization, contact person, telephone/email, amount of contract, service(s) provided, and location of services provided (city & state)).

Please see the Reference Chart on Page 7

REFERENCES			
Workforce Board	Contact Name & Information	Yrs. Of Service	Type of Program
Cumberland County WDB	Ms. Nedra Clayborne Rodriguez, Director Cumberland County Workforce Development Board 414 Ray Avenue Fayetteville, NC 28301 Phone: 910-486-1010 nrodriguez@co.cumberland.nc.us Mr. Tracy Jackson, Assistant County Manager Cumberland County 910-323-6117 tr.jackson@co.cumberland.nc.us	3rd year	Career Center Operations Management
Gaston County WDB	Ms. Angela Karchmer, Director Gaston County DHHS 330 Dr. Martin Luther King Jr Way Gastonia, NC 28052 Phone: 704-862-7930 angela.karchmer@gastongov.com	5th year	Adult & Dislocated Worker Services
Lumber River WDB	Ms. Patricia Hammonds, Director Lumber River Workforce Development Board Lumber River Council of Governments 30 CJ Walker Rd, COMtech Park Pembroke, NC 28372 Phone: 910-775-9764 PTH@lrcog.org	6th year	Adult & Dislocated Worker Services Career Center Operations Management
Triangle South WDB	Ms. Rosalind Cross, Director Workforce Development & WIOA Programs Triangle South Workforce Development Board Center for Workforce Innovation 5910 Enterprise Park Dr. - Office #110A Sanford, NC 27330 Phone: 919-777-7795 rcross@cccc.edu	5th year	Adult & Dislocated Worker Services Youth Program Services
Turning Point WDB	Mr. Michael Williams, Director Turning Point Workforce Development Board PO Box 7516 Rocky Mount, NC 27804 Phone: 252-443-6175 mwilliams@turningpointwdb.org	5th year	Adult & Dislocated Worker Services

6. A description of your organization's policies and practices related to Equal Opportunity and persons with disabilities.

THWS is an equal opportunity business operation and we follow all EEO regulations and practices in our daily work. With regard to Human Resources, Harriett Johnson is our HR/Safety Director, and responsible for ensuring that our WIOA operations are compliant and adhere to all federal, state and local employment laws. As you would expect in our staffing business, compliance with employment law and regulations is of the utmost importance. We have a dedicated personnel policy handbook, utilize a job specific employee performance

management system with established review times, and stay abreast of all current EEO information; we also are a member of Capitol Associated Industries (CAI) for HR guidance and advice, along with being represented by the Womble Carlyle legal firm in Charlotte for any HR related questions, advice or representation. Dealing with a number of business and industry Human Resource groups in our daily staffing business, we are intimately familiar with and exposed to a variety of HR systems and approaches, which also guides our practices in this area. We do utilize a progressive discipline method with a focus on corrective action, and in the majority of cases, we find that specific counseling or training/explanation tends to resolve service concerns, but we are prepared to address any and all issues without delay.

3.0 Scope of Work

3.0 Scope of Work – Adult & Dislocated Worker Program

1. Describe your organization's experience in helping people who are looking for employment or seeking assistance to go to school or training. Include your experience in the following areas:
 - a. Working with individuals and helping them prepare for employment opportunities

Team members provide an initial assessment of customers to determine what Career Services will be best to meet a customer's needs. We do believe the intent of WIOA is to increase the placement of individuals, so our initial assessment will be focused on the individual's employability potential at that point in time. If the assessment piece determines they are job ready, we will focus on job referrals and job development versus further training. If they appear not job ready, we will transition into the more detailed Individual Employment Plan (IEP) and Assessment. At this stage staff will determine what training services will best meet their employability skills development needs. THWS is very familiar with the many traditional classroom training services available. Likewise, we are **well versed** in OJT development as well as Work Experience, so these tools would be strongly considered for assistance. Throughout the Career Services and Training Services stages, staff will be alert to provide Supportive Services to customers, either by means of partner referral provisions or WIOA funds as available and allowable.

During the past 6 years our WIOA funded staff have been working in multiple Career Centers as full members of the local teams assisting job seeking customers with employment services, career planning, training assistance, etc., and connecting with other community services to assist customers. That same staff has provided business services to local employers through the Center by developing the skills of job seekers and connecting that to businesses' manpower needs through community college training services and other approved vendors. We are clearly and actively engaged with local Career Centers across North Carolina and very familiar with the Integrated Service Delivery (ISD) practices, Center needs and challenges. We also bring a private sector focus on what we believe is the key priority for the new WIOA-employability, job placement focus, and Career Center effectiveness.

Assisting customers with employment or reemployment will frankly utilize the existing services of the Center. However, we do promote more direct interaction with customers than solely asking them to self-serve in the CRC. Reviewing potential job openings with customers and making referrals, etc. is still a very effective means of assisting adults in making the employment connection, especially those with difficult work backgrounds, low experience, etc. We also promote OJT and WEX opportunities with the adult population. We market WEX to businesses as a "try out" employment with a potential "hired" outcome when the WEX is complete—we have found businesses receptive and experienced success with this approach. We also expect our staff to be engaged with RESEA and EAI services as a means of program outreach and opportunity to place UI claimants back in employment.

Team members will be expected to be familiar with local hiring events either occurring at the Centers or sponsored offsite, along with local job fair events, so that they can advise customers accordingly. When working with customers directly, team members will be expected to use all relevant information in the NCWorks system, i.e. work history, objective assessment information, education/training, etc. to guide customers to high potential job

matches based on postings within the NCWorks Online system. We also support and encourage individualized focus with customers, where their skills and training may be specifically suited for a job development contact by the team member to promote a potential hire to local business. During the follow up phase of WIOA participation we expect team members to invite participants back to the Center for assistance if they have difficulty connecting with work opportunities. On this same track, but a general services note, we still believe that reviewing the system for services provided to customers and then making a general follow up contact with those customers is a great opportunity to determine employment needs or success in becoming employed.

Finally, we strongly believe work-based learning (WBL) activities provide the best and most immediate opportunities for real change in a customer's situation, as the employment and earnings are immediate, and often can be focused with demand-driven business needs of area employers. In order to create better opportunities for transitions to employment, we must continue our efforts to establish Work Experience (WEX) and On-the-Job Training (OJT), working collaboratively with the Region C Business Services, as a means of helping individuals move from classroom skills to employment.

- b. Assessment and intake. Please list the specific assessments you have used in the past and outline your process for assessment and testing.

Customers will be greeted professionally and courteously with the intent of efficiently determining their needs and guiding them to the service(s) that can assist them best. From this point, our staff will engage the customer for direct Wagner-Peyser (Title III) services which are focused on employment services. Customers will receive the benefit of any and all basic and individualized services that can and should be made available to them. Staff will be expected to effectively evaluate and suggest meaningful services to customers based on conversation with them, referrals from partner agencies, and other assessment tools. Complete assessment of customers is a multi-faceted approach and dictated by what level of activity in which we will be engaged at the time. Customers will largely be assessed verbally, observationally, and evaluation of their work history, etc. Tools such as Holland Code, MyNextMove.org, CFNC.org-Plan for a Career and the Interest Profiler are regularly utilized prior to enrollment in WIOA services. As we move more into Intensive services, we would bring more specialized assessment, such as TABE testing, the assessments located on NCCareers.org including Career Cluster Survey, Reality Check, North Carolina Career Cluster Guide and the full NCWorks online self-assessment suite that includes: Job Skills, Personal Skills, Workplace Skills, Work Interests, Work Values and Tools and Technology.

As the customers progress through the Welcome and basic career services phase of engagement, it may be determined that the individual needs more focused services to enhance employability success. This is the point where staff will need to make the soft hand off/connection to more individualized, Intensive services, which will involve more specific orientation regarding WIOA services such as work-based learning, classroom training, etc. Additionally, at this point staff will be providing initial WIOA (Title I) eligibility determination. It is always our intent to make the eligibility phase as convenient and streamlined as possible for the customer, so we will ensure customers are well informed on required eligibility documentation, including assistance on how to access information, etc. if needed. Eligibility for WIOA services will be documented fully in NCWorks Online and we will have supervisory level oversight of the data entry, scanning, and

fulfillment aspects of the eligibility process prior to Talent Assessment. Our standard for eligibility verification will align with your 100% requirement, along with all documents being scanned into NCWorks Online.

Once the customer has been determined eligible for WIOA services, our staff will begin the Objective Assessment Summary (OAS) and subsequent composition of the Individual Employment Plan (IEP) with the customer. Adult/DW participants will be assessed for both eligibility and suitability. We will adhere to your programmatic eligibility guidelines for both Adult and Dislocated Worker. As such, we will provide thorough information to potential participants regarding program services and the eligibility process. Due to validation expectations, we will expect all participants to provide 100% of needed verification sources to establish program eligibility. Enrollment will not be done without complete and valid documentation.

c. Goal-setting and career planning.

IEP development by the Case Manager with the customer is a critical piece to a positive outcome for the customer. We will expect our Case Managers to construct plans that take into account the individual's educational, occupational, and life experiences. This will be done via verbal questioning, observation, consideration of assessment testing results, etc. The Objective Assessment Summary (OAS) will be a guiding tool since it will inform on the customer's goals, objectives, barriers to employment and potential support needs. All of this information is used in the IEP development and we have staff ensure we maintain provision of Supportive Services documentation in the IEP also, since this is often a critical piece contributing to customer success. The Case Manager will be expected to consider local employment sector strategies for determining the best occupational track for that individual. Our performance expectation of staff regarding the monitoring of the IEP will be to do so at least every sixty (60) days at a minimum, more often if the need is there.

As goals are achieved and the individual enters employment directly, staff will provide consistent and meaningful follow-up services. Staff will conduct follow-up contacts with individuals who enter employment for a minimum of 12 months after program exit. Staff will continue to offer assistance in coaching the customer, offering to bring other resources to bear when situations dictate other needed assistance, etc. These customers will be monitored for additional assistance, provided employment referrals, and other sources that may be of assistance in meeting their employment needs if not already involved, including invitation back to the Center for employment assistance services.

d. Performance goals and applicable outcomes related to your programs. We are particularly interested in educational outcomes (i.e. enrollment, credential attainment and educational gains) as well as workforce outcomes (employment, retention, and wage gains).

THWS is fully aware of the stated performance standards referenced above as we follow these same parameters in the other contracts we operate across North Carolina. We recognize that our work goals and initiatives must be developed and focused on meeting and exceeding same. All THWS staff members will be duly informed of the performance standard expectations and we will monitor for productivity. Our in-house training will be focused on Region C policies and

procedures, in accordance with state policies, related to accurate case management and data validation. Additionally, our internal systems are designed to monitor productivity, including fund obligations and expenditure rates. With regard to integrated service delivery, we participate in all applicable training for same.

We are aware Performance Standards for PY20-21 have yet to be established; however, we will initially orient our team members to these expectations utilizing the currently available standards. We do understand that WIOA participation also includes follow up after program exit. It is our experience that follow up is critical to ensuring the specified performance measures are met or exceeded: Employment Rate Q2, Employment Rate Q4, Median Earnings Q2, and Credential Attainment. We also recognize the need for staff to input correct information into NCWorks Online that is pertinent to calculation of the performance measures and this will be stressed in all our trainings. We are aware that “Measurable Skills Gains” (MSG) and “Effectiveness in Serving Employers” are being baselined at present. On this subject we do operate to ensure staff understand the importance and how to capture the data that relates to the MSG performance. We have provided you with a snapshot of performance data relative to our other WIOA Adult/DW and Youth contracts for your information below.

2017	Employment Q2 Adult Goal	Employment Q2 Adult Achieved	Employment Q4 Adult Goal	Employment Q4 Adult Achieved	Median Earning Goal	Median Earning Achieved	Credential Adult Goal	Credential Adult Achieved	Employment Q2 DW Goal	Employment Q2 DW Achieved	Employment Q4 DW Goal	Employment Q4 DW Achieved	Credentia IDW Goal	Credentia IDW Achieved	Median Earning Goal	Median Earning Achieved
41-Gaston WDB	77.0%	98.1%	79.0%	97.5%	\$ 5,600	90.95%	53.5%	103.7%	78.5%	127.4%	81.0%	104.8%	66.4%	104.3%	\$ 6,800	104.30%
44-Lumber River WDB	72.0%	97.8%	72.0%	97.6%	\$ 4,800	87.45%	52.0%	119.1%	80.0%	96.8%	80.0%	94.4%	54.0%	150.5%	\$ 6,680	79.65%
51-Turning Point WDB	70.0%	102.3%	75.0%	97.9%	\$ 4,800	80.48%	47.0%	86.6%	75.0%	133.3%	75.0%	111.1%	56.4%	73.7%	\$ 6,680	96.65%
60-Triangle South WDB	69.0%	105.1%	72.9%	100.5%	\$ 5,000	85.19%	50.5%	113.5%	79.2%	108.5%	82.0%	107.1%	57.4%	89.5%	\$ 6,680	100.55%
2018	Employment Q2 Adult Goal	Employment Q2 Adult Achieved	Employment Q4 Adult Goal	Employment Q4 Adult Achieved	Median Earning Goal	Median Earning Achieved	Credential Adult Goal	Credential Adult Achieved	Employment Q2 DW Goal	Employment Q2 DW Achieved	Employment Q4 DW Goal	Employment Q4 DW Achieved	Credentia IDW Goal	Credentia IDW Achieved	Median Earning Goal	Median Earning Achieved
41-Gaston WDB	75.0%	101.6%	76.5%	101.3%	\$ 5,400	113.00%	58.0%	97.5%	80.0%	120.8%	81.0%	116.4%	68.0%	85.1%	\$ 6,500	122.03%
44-Lumber River WDB	70.0%	121.3%	70.0%	111.4%	\$ 4,200	127.67%	63.0%	59.8%	74.0%	98.4%	75.0%	92.1%	70.0%	35.2%	\$ 5,300	101.90%
51-Turning Point WDB	71.0%	120.3%	70.0%	108.7%	\$ 3,700	139.55%	45.0%	118.3%	75.5%	132.5%	73.0%	137.0%	50.0%	133.3%	\$ 5,300	0.00%
60-Triangle South WDB	69.5%	109.2%	73.0%	101.2%	\$ 5,000	85.45%	51.0%	116.2%	81.0%	101.2%	82.9%	102.8%	58.0%	129.3%	\$ 6,680	96.23%
2019 (YTD)	Employment Q2 Adult Goal	Employment Q2 Adult Achieved	Employment Q4 Adult Goal	Employment Q4 Adult Achieved	Median Earning Goal	Median Earning Achieved	Credential Adult Goal	Credential Adult Achieved	Employment Q2 DW Goal	Employment Q2 DW Achieved	Employment Q4 DW Goal	Employment Q4 DW Achieved	Credentia IDW Goal	Credentia IDW Achieved	Median Earning Goal	Median Earning Achieved
41-Gaston WDB	76.0%	117.7%	78.0%	104.6%	\$ 5,500	114.97%	60.0%	131.5%	81.0%	96.0%	82.0%	122.0%	69.0%	144.9%	\$ 6,700	128.06%
44-Lumber River WDB	71.0%	117.2%	71.0%	118.5%	\$ 4,300	141.35%	64.0%	77.2%	75.0%	98.6%	76.0%	91.7%	71.0%	76.6%	\$ 5,400	100.84%
51-Turning Point WDB	73.0%	125.1%	72.0%	101.4%	\$ 3,900	131.39%	47.0%	157.9%	77.0%	111.3%	75.0%	133.3%	52.0%	111.1%	\$ 5,500	128.61%
60-Triangle South WDB	70.5%	105.5%	74.5%	85.8%	\$ 5,200	90.46%	51.5%	91.1%	81.7%	110.2%	83.0%	83.0%	58.5%	85.5%	\$ 6,980	89.33%
2018	Employment Q2 Youth Goal		Employment Q2 Youth Achieved		Employment Q4 Youth Goal		Employment Q4 Youth Achieved		Credential Youth Goal		Credential Youth Achieved					
60-Triangle South WDB			77.0%		109.3%				62.0%		120.6%		49.0%		62.8%	
2019 (YTD)	Employment Q2 Youth Goal		Employment Q2 Youth Achieved		Employment Q4 Youth Goal		Employment Q4 Youth Achieved		Credential Youth Goal		Credential Youth Achieved					
60-Triangle South WDB			65.0%		125.9%				62.5%		139.1%		49.5%		134.7%	

We have developed a tracking system used by case managers and supervisors to keep abreast of case management and progress towards meeting performance measures. Case Managers track monthly performance as seen in the examples on pages 13 and 14. In addition, case managers are given a spreadsheet to track current active cases, follow up cases, performance, pre-intake customers, supportive services and ITA expenditures. These reports are updated daily and are

submitted to the supervisor monthly. Case managers' monthly spreadsheet doubles as a tool to measure employee performance in relation to the achievement of their individual programmatic goals.

The Supervisor tracks all WIOA activities from pre-intake to 4th quarter follow-up to ensure all data is managed and customers are provided services according to policy. You will see the example provided of the Supervisor's monthly program data log. It directly correlates to the case manager's data and is verified by NCWorks online reports. The supervisor also uses an Excel workbook to track pre-enrollment customers, WIOA enrollments, participants' cases soon to exit, credentials, measurable skills gains, employment outcomes, work based learning participants, etc. A separate workbook is aligned with our corporate office's finance department to track all program expenditures in real time.

We are aware of the importance of meeting state and local performance measures and have the tools to monitor our progress and guide our initiatives. We believe our methods set us apart from our competitors.

Example of Case Manager's Monthly Program Data Log

Case Manager:	Wagner Pepper	RESEA	EAI	Enrollments		Exits		Active and Follow Up Participants on Caseload										Entered Employment				Training Outcomes						
								Individualized		Occ. Skills Training		Work Experience		On the Job Training		Follow Up		Total		Employment Verifications				Credentials		Measurable Skills Gains		Training Related Placements
				Adult	DW	Adult	DW	Adult	DW	Adult	DW	Adult	DW	Adult	DW	Adult	DW	Adult	DW	Adult Ind	DW Ind	Adult Training	DW Training	Adult	DW	Adult	DW	Adult
July	11					1	2	3	8							1	10	4		1					2			
August	2			2	1	1	1	1	2	9	2					1	1	11	5			1		3		1		
September	7			2		1	1	1	1	11	2				1	1	2	13	6									
1st Quarter	20			4	1														0	1	1	0	3	0	3	0	1	0
October	6			2	1	3	1			11	3				1	1		12	4						1			
November	9			2		3	3	1		12	3				1	1		14	4				1	2	1	1		
December	4			1		2		1		13	3				1			14	4						1			
2nd Quarter	19			5	1														0	0	0	1	2	1	2	1	0	0
January	7		1	1		2	1			11	3						11	3										
February																	0	0										
March																	0	0										
3rd Quarter	7			1	0														0	0	0	0	0	0	0	0	0	0
April																	0	0										
May																	0	0										
June																	0	0										
4th Quarter	0			0	0														0	0	0	0	0	0	0	0	0	0
Goal	100	12		16	11														5	3	3	3	5	4	5	4	3	3
Program Year Total	46	1		10	2	12	6												0	1	1	1	5	1	5	1	1	0
% of goal achieved	46%	8%		63%	18%														1	2	6	6	6	6	6	6	1	0
																			0%	33%	33%	33%	100%	17%	100%	17%	33%	0%

Carry-Ins from PY 18-19					
Individualized		Training		Total	
Adult	DW	Adult	DW	Adult	DW
Actual	1	3	9	0	10

Completed RESEA/EAI names & date	

(This space left intentionally blank.)

Example of Supervisor's Monthly Program Data Log

[illegible]

2. List examples of your current community partnerships. Explain how will you will duplicate these types of partnerships in our 4-county area.

Examples of Partnerships in our Gaston County Contract:

1. Required WIOA Partners – Wagner Peyser, Vocational Rehabilitation, TANF, Adult Education
2. Libraries
 - o Gaston County Public Library- Main
 - o Gaston County Public Library –Ferguson Branch
3. Education Partners
 - o Gaston College - CNA, RN, LPN, Medical Assisting and Phlebotomy Program Coordinators
 - o Gaston College HRD
 - o Gaston College ABE and HSE
 - o Gaston Literacy Council
 - o Gaston Community Action – Head Start
4. Healthcare Providers
 - o Partners Behavioral Health
 - o Monarch Behavioral Health
 - o Phoenix Counseling Center
 - o Gaston Family Health

5. Housing & Shelters

- Catherine's House
- Salvation Army
- Cathy Mabry Cloninger Center – A Domestic Violence Shelter
- Family Promise Day Shelter

The first step in duplicating these types of partnerships will be identifying the equivalent partners located in each of the four counties. An outreach list would then be created and with the help of Career Center managers, and a strategic outreach plan would be initialized to solidify new and existing relationships. It is important to develop referral procedures between agencies. The customers benefit when team members are knowledgeable on community resources and general entrance requirements.

We have a strong background and reputation for our ability to forge new relationships and partnering efforts with groups and people of varying background and focus. Our business demands that we fully embrace the art of building collaborative teams and efforts, and this will be the same purpose we regularly exhibit in all partner meetings and discussions.

We believe that bridging new partnerships requires a fresh look at partner situations and consideration of their productivity needs as we craft the new coordination and integration efforts. Like any other business, partners need to be able to meet their own key deliverables, so again, negotiation/discussion that allows them to be successful makes our partnership successful and thereby your system. *We would want to build on partner participation and future potential based on the premise that partners bring both services and resources, while service providers basically bring their service—we have to consider the need for fuller partner participation moving forward.*

3. Describe how your offices will recruit and provide meaningful service to customers who are eligible for Workforce Innovation and Opportunity Act Title I Adult/DW funds.

Our recruitment efforts are directly aligned to developing strong community partnerships and increasing awareness of NCWorks Career Center services by meeting the customer in the community. In your neighboring community, we participate in outreach events and job fairs held by DHHS, Gaston College, Gaston Family Health, Hope4Gaston and Faith Based Agencies. Additionally, we routinely provide presentations directly to customers and community providers/partners and are always seeking new opportunities to reach untapped customer pools. Similar methods of recruitment and outreach would be provided to Cleveland, McDowell, Polk, and Rutherford counties.

THWS understands that, effectively, how the Career Center functions directly impacts the customer's experience of navigating from basic career services to WIOA services. We regularly work with staff and center management to develop service delivery strategies to improve performance and customer satisfaction. We provide WIOA Orientations to consistently and thoroughly outline all the services offered in the Career Center and through the WIOA program. After attending WIOA orientation, prospective WIOA customers meet individually with a case manager to conduct an initial assessment of customers' barriers, education and experience to develop a tailored service strategy that maximizes customer choice.

Assisting customers to achieve their employment goals is our priority. We utilize a training checklist with concentrated questions regarding household income support,

transportation, childcare, labor market information and the requirements to enter and complete the training program successfully. This is intended to encourage a thoughtful discussion between the customer and case manager regarding barriers to not only entering, but completing, the training activity and receiving a credential. Through WIOA and partnering services, customer's existing barriers are minimized to support the student while working towards their education and employment goals.

As our proposal is for all services to include Adult/Dislocated Worker and Youth, we are including our overall approach to customer outreach. That being said, outreach to special populations/individuals with barriers will assist to generate recruitment and enrollment opportunity. We know that partners involved with Adult Education & Literacy, along with Vocational Rehabilitation are required partners in Career Center operations and services. We intend to establish strong connections with these groups and specifically seek more customer referrals from them. Additionally, there continues to be increased focus on connecting DSS customer groups such as TANF, SNAP, and ABAWD's with employment, and this will necessitate ongoing outreach with DSS. We foresee holding local meetings of other community organizations early in the program year to educate them on services WIOA and the Center can provide to Adults and Youth alike and invite stronger connections with them for referrals. These types of connections with community-based organizations (CBO) present potential for more direct Center involvement by your local CBO's. We also recognize the potential of faith-based organizations to provide meaningful referrals to the program services and we have experience initiating such connectivity. We regularly discuss the need for Centers to conduct outreach via potential "town hall" type meetings to get more of the community engaged with the Centers and attract more customers. Additionally, we are accustomed to creating our own outreach materials, newspaper ads, brochures, etc. to publicize services, if need be – as a private sector business, we understand that waiting for customers does not result in business success; **you have to go get them.**

We will continue close relationships with the community college for assistance with limited English proficiency customers and utilization of their literacy skills programming to augment WIOA services at each Center. Veteran outreach will be coordinated with the Veterans Services staff in the Center and in coordination with their outreach efforts. Customers with criminal backgrounds can be provided ancillary services through DWS's Re-Entry Specialists, Vocational Rehabilitation, etc. Finally, we know that groups such as Foster Children, about to age out of foster care, represent a population that have significant need of career services and could easily be connected to the Center via Adult/DW and/or Youth programs. Again, we believe in the adage of "leaving no stone unturned," and this is a work expectation we have for our staff members.

4. Define exceptional customer service. Describe how you provide exceptional customer service.

Since establishment 20 years ago, the Two Hawk organizational mission has remained the same – we are dedicated to providing superior customer service to our clients and customers by delivering exceptional, value-added services. Through our commitment to excellence, we expect our staff to offer the highest level of quality, expertise, and customer satisfaction daily; this applies to our customers, employees and the communities we serve. We believe in our motto that "Wrong Fails, Right Prevails," and we are driven by our own desire to do right for

all the people we serve each day. We believe in providing services to ***all people*** in order to assist or equip them with the skills they need to provide for themselves and their families.

All WIOA Staff are expected to service customers with dignity, respect and the highest level of customer service. This often means “going the extra mile”, putting the customer’s needs first, and thinking outside the box to provide employment solutions and innovative service strategies to achieve their identified goals. We expect all team members to interact with customers in a professional and courteous manner, while also recognizing customer service is the #1 priority. For any team member to meet this service expectation, they must be knowledgeable about the services available in the Center and they must be open-minded to explore all available options for customers—both jobseekers and businesses.

We continually look for ways to be innovative, flexible and unconstrained in our service delivery to customers. Job seekers and employers both will be engaged/recruited via actual Center visits, phone/email contacts, job fairs, community forums, referrals from partners and like situations. Businesses will also be engaged through the Center’s business services team, outreach programs to civic groups, economic development connections, and industry connections available through LinkedIn etc. The critical piece of any customer engagement is that it be immediate when the situation is presented, staff must provide a quality, accurate triage/assessment of the contact and the need, and then present knowledgeable, logical solutions and activities to the customer—both job seekers and businesses.

Fundamental to delivering this type of productive engagement is the level of knowledge, understanding, and capability to verbally communicate said information. This requires that we: (1) clearly communicate our definition of quality engagement, (2) provide staff with the necessary training and instruction on the services and tools that can assist customers, and (3) ensure that supplemental materials/tools accurately reflect the content of our training and instructions. Since the Region C Career Center is an integrated operation, we will need to work collaboratively with management and other staff to develop public information materials, SOP’s, general daily practices that ensure continuity and alignment with the three key tenets above.

5. How will you ensure that your services are delivered in a way that makes them equally accessible to individuals with all types of disabilities?

Our staff are trained to effectively serve all customers regardless of any disabilities and are aware of tools within the Career Center such as computer’s “Magnifier” to assist individuals with visual disabilities or “Narrator” to assist individuals with hearing disabilities. Our team members will be asked to attend Tilting at Windmills training offered by NC Vocational Rehabilitation and Serving Customers with Disabilities, Part 1 & 2 from the Diversity and Inclusion series offered by the NCWorks Training Center. Customers needing specialized assistance may be referred to NC Vocational Rehabilitation or other partnering agencies. We have a close partnership with NCVR in our contract areas and co-enroll customers to provide wrap around services that address barriers allowing the customer to successfully participate in training and/or enter employment.

6. Describe the measures your organization will take to attract and retain high producing employees. How do you hold underperforming staff accountable?

Once we are officially notified of contract award, we will move rapidly to begin the transition, which will take into consideration current contract team members, coordinating specifics with Board staff, implementing recruitment actions for staff positions. We would be interested in speaking with the existing staff and offering them an opportunity for priority consideration if they are interested. At the same time, we will have recruitment actions ongoing to ensure we can onboard all necessary staff positions and be ready for operations to begin July 1st. In our interview process, we are very clear and precise regarding our commitment on the ISD system, the goals we have in our contracts, and our expectations for the ability to fully commit to a team-oriented program and a holistic knowledge of Center services. As we have stated in earlier sections, Two Hawk has been internally cross-functional for many years, so we communicate this expectation to all new applicants in our Workforce division.

During this current year and continuing now, we have been refocusing on infrastructure and organizational changes that can provide more support to our frontline team members; the goal being to demonstrate their value to the organization. We are currently analyzing and updating our policies and procedures to ensure all staff have clear, understandable guidance. We also have improved and continue to monitor our salary and benefit package; we also support and encourage staff development opportunities.

We also promote to all potential employees our belief that the path to continued success, both for them and our company, is intertwined. We let them know up front that we follow three key tenets: (1) personal responsibility, (2) accountability, and (3) ownership for every job that is done in the service process. For this we explain they must Decide, Commit, and Succeed with us. To supplement these beliefs, we do hold quarterly and yearly performance evaluations based on individual goals. Underperforming staff are made aware of performance concerns, coached/counseled on how to improve and provided support to improve. Subsequent reviews are held to determine if change is occurring; always with a focus to improve performance or behavior. However, as a private sector business, we do not tolerate continuing poor job performance or other issues that reflect negatively on our business, your Career Centers, and/or customer engagement, so we are proactive in our disciplinary processes.

7. Describe your approach to training and onboarding new staff and supporting staff with ongoing training and development.

THWS is very accustomed to transitional operations in our workforce contracting due to the fact that we have been the transitioning contractor in all of our business operations. Once the formal award announcement is made, we would like to begin meeting with the local Board staff as quickly as possible. These initial meetings would provide us the opportunity to gain better insight to areas and items the Board may want to see addressed specifically. Our goal in these early meetings would be to establish an open dialogue and atmosphere of clear and professional communication that will be the basis for a strong, ongoing partnership, while also coordinating needed introductory training needs in collaboration with Board staff.

In our early transition meetings with Center team members, we will actively seek input on the positive activities and efforts already in place. This is something that our company is well versed in, as we often start working with staffing clients following previous vendors. We are very deliberate in working with the client to determine the positives and the negatives, in an attempt to ensure productive initiatives and activities are maintained when possible, and in some cases modified for improvement. It will be clearly communicated to our team members that service

delivery to the customers is paramount, and the expectation will be that we “go the extra mile” to minimize any transition difficulties.

We will need to incorporate our assessment into any initial training plans for team members. These types of training will need to take place over multiple sessions (typically on your designated staff development/ training day), since the information can be overwhelming, and we need to ensure all aspects are retained. Training would also include information on staff technical assistance venues any team member will have locally on a daily basis.

During the transition timeframe after award, we will be familiarizing ourselves with Region C’s existing local policies and procedures. We will use this information to design our in-house training modules for team members and our onboarding orientation process for new team members. We will also be sending in our Contract Manager, with prior permission from Board staff, to get in depth observation of your local processes and workflow, so that they will be fully informed on how best to ensure our implementation for Region C is successful and smooth. As we have discussed in multiple sections of this proposal, we are fully committed to the ISD system, and this will be explicitly detailed to our staff members. Our corporate management staff is well-versed and familiar with ISD and DWS specifically, we are fully equipped to coordinate our efforts closely with your Center management team.

We take pride in how our staff are trained and ensure they are given the tools to excel at their job. As a part of onboarding process, NCWorks access is not given to new staff members until at least 1 week of job shadowing has been completed. Once new staff begin to receive customers, a senior staff member will shadow the new employee until this is no longer needed. Staff members are provided step-by-step instructions to guide them through the complicated functions of career center services. As policy changes, instructions are updated and reviewed with staff immediately. If problem areas are identified through monitoring or observation, a dedicated training will take place with the individual or group.

Prospective WIOA participant’s files are reviewed by the supervisor for accurate verifications and eligibility prior to enrollment in WIOA services. Following enrollment, files are monitored for adherence to WIOA policies and to ensure data validation expectations have been met. Two Hawk’s internal programmatic monitor reviews WIOA participant files in NCWorks and provides feedback and guidance directly to the case manager.


Case managers are provided spreadsheets developed by Two Hawk to track their case management activities. These spreadsheets track enrollments, active cases, exited cases, employment, measurable skills gains, credentials, prospective WIOA participants and expenditures. These spreadsheets are the tool our case managers use to ensure they are on target to meet state and local performance goals and guides case management so that customers are never lost in the process.

Staff are cross trained on services provided by the center directly or through our community partners. Staff development is ongoing and try to have dedicated days used for staff training, plant/facility tours, guest speakers, recorded webinars, team building and community partner presentations. Staff meeting notes are typed and shared with all center staff. We strive to ensure that center staff is knowledgeable and equipped to serve customers effectively and efficiently. Following are examples of some of the onboarding checklists we follow for bringing staff online for work (**please see following items on pages 20-22**).


Example of staff onboarding training process:

Welcome Team Functions	
Front Desk (minimum 20-30 hours within the first month)	
Career Resource Center (minimum 4 hours)	
Attend in-center Orientations (Re-entry) and in-center Workshops (Interviewing, resume)	
RESEA (minimum 3 observations with 2-3 different staff)	
EAI (minimum 3 observations with 2-3 different staff)	
WIOA (Skills Team) Functions	
WIOA Orientation	
Pre-intake log in EOM- 1 observation	
Orientation - 4 observations	
WIOA Pre-intake - 4 observations each	
Verification documents	
Eligibility	
Income verification	
Preparing for Review Team - 4 observations each	
QC checklist	
Training checklist	
WIOA Enrollment - 4 observations	
IEP	
OAS	
WIOA Application	
Linking Verification documents	
Case note	
Activity codes	
Active cases/ performance worksheets in EOM (1 observation)	
Training Requests - 4 observations	
OST	
OJT	
Invoicing - 4 observations	
Vouchers	
Supportive services/request & receipt	
Requisitions	
Voucher/supportive service request log in EOM (1 observation)	
CSS codes	
Ongoing Case Management - at least 1 observation	
Attendance sheets	
Gas cards	
Case notes	
IEP update	
system correction	
Preparing to Exit - 4 observations	
Appointment letters/ intent to close	
Case exit checklist / preparing to exit form	
Preparing the file in NCWorks	
completing errors from internal monitor	

Example of Onboarding procedure:



NC Works
career center
— Gaston



Onboarding
Example

+
+

Name:

Hire/Start Date:

Position Title:

Documents	Signed/Received?	Date Signed/Received
Two Hawk Application	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I-9	<input type="checkbox"/> Yes <input type="checkbox"/> No	
SS Card	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Driver's License	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Emergency Contact	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Direct Deposit	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Ethics	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Confidentiality Agreement	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Policy Sign off Sheets (from management)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Employee Offer Letter	<input type="checkbox"/> Yes <input type="checkbox"/> No	

TASKS TO BE COMPLETED BY SUPERVISOR / MANAGER		
Upon Approval of Position	Date Completed	Comments
Contact new hire to discuss start date, parking, entrance to building and dress code.		
Prior to Start Date		
Ensure work space is operational (computer, phone, supplies, etc.)		
Email to request submission of NUR		
Meeting with staff to discuss expectations for the assisting new hire		
Email office staff to provide brief introduction of name, title, extension, and start date		
Start Date (Supervisor will periodically follow-up throughout the day)		
Arrive early to greet and meet with new hire		
Provide introductions to staff		
Provide tour of facility, pointing out key areas.		
Review list of expectations: office layout directory, timekeeping, evacuation sheet, lunch/break schedule, key codes and Integrated Service Delivery		
Review Two Hawk Policy Manual		
Provide new hire paperwork		
Email new hire paperwork to HR		
Send email to update Career Center Telephone Directory		



Once All New Hire Paperwork Is Completed (including Review of policies/procedures and completion of forms):		Date Completed	Comments
Instruct new hire to complete training requirements for certification through NC Works Training Center <ul style="list-style-type: none"> o Labor Market information o Career Advising o NCWorks Online o Customer Service o Disability Awareness o Career Pathways 			Provide link to website for training Inform new hire to print and file copies of their certificates)
Assign phone extension, set up voicemail and explain voicemail guidelines			Extension#: _____
Review telephone greeting			
Setup email signature			
Provided Staff Rotation Schedule			
Provide Lunch Schedule			Lunch Time: _____ 30 Minute Lunch Days /
Provide Inclement Weather policy			
Add to Birthday List			
Add Emergency Contact information to office list			
TASKS TO BE COMPLETED BY NEW EMPLOYEE			
<ul style="list-style-type: none"> o Begin rotating with different staff for job shadowing: (record shadowing progress on excel sheet) o Front Desk (minimum 20-30 hours within the first month) o Career Resource Center (minimum 4 hours each week) o Attend in-center Orientations (WIOA, Re-entry) and in-center Workshops o RESEA (minimum 3 observations with 2-3 different staff) o EAI (minimum 3 observations with 2-3 different staff) 			Email spreadsheet for tracking of job shadowing
AFTER FIRST WEEK:			
TASKS TO BE COMPLETED BY SUPERVISOR/ MANAGER			
One-on-one discussion to check progression			
Review staff expectations from management/supervisor			
Discuss any concerns			
Check with supervisor to determine any areas of concern			
Review Job shadowing progress			
Within 1 month			
TASKS TO BE COMPLETED BY STAFF			
Access to NCWorks Training Site			Provide username/password
Schedule NCWorks Online Training with WDB			
Complete Welcome to Workforce Training Modules and provide certificates			NCWorks Training Center website

4.0 Budget

Region C Workforce Development Board
WORKFORCE INNOVATION & OPPORTUNITY ACT (WIOA)
BUDGET SUMMARY

CONTRACTOR: Two Hawk Workforce Services

PROGRAM (FUND): Adult

PROGRAM YEAR: PY 2020-2021

CONTRACTOR-ADMINISTRATIVE COSTS:

STAFF SALARIES	\$ 189,795.35
STAFF PAYROLL EXPENSE & FRINGE BENEFITS	\$ 38,829.62
OPERATING/OCCUPANCY COSTS	\$ 1,085.29
PROGRAM DEVELOPMENT	\$ 2,713.22
STAFF TRAVEL	\$ 7,054.37
EQUIPMENT & PROPERTY	\$ 904.41

CONTRACTOR - PARTICIPANT COSTS:

PARTICIPANT EDUCATION COSTS	\$ 116,433.05
PARTICIPANT TRAINING/ PAYROLL COSTS	\$ 58,216.53
PARTICIPANT FRINGE BENEFITS	\$ 4,558.35
PARTICIPANT SUPPORT COSTS	\$ 24,742.02
INDIRECT PROGRAM COSTS	\$ 23,947.78
TOTAL STAFF & PARTICIPANT COSTS	<u>\$ 468,280.00</u>
PROGRAM PROFIT ALLOCATION <i>(For-Profit Program Operators Only)</i>	<u>\$ 40,720.00</u>
GRAND TOTAL PROGRAM COST	<u>\$ 509,000.00</u>

Contractor - Authorized Signature: _____

Date: 3/15/2020

Approved By - Authorized Signature: _____

Date: _____

PROGRAM (FUND): Adult

PROGRAM YEAR: PY 2020-2021[illegible]

OTHER FRINGE BENEFITS:

*SPECIFY COST

*Attach Detailed Itemization

TOTAL	\$	38,829.62
--------------	-----------	------------------

OCCUPANCY/RENT
AUTO INSURANCE
AUTO TAXES/LICENSE FEES
AUTO REPAIRS/MAINTENANCE
LIABILITY INSURANCE
TELEPHONE
TELEPHONE EQUIP
UTILITIES
JANITORIAL
OFFICE SUPPLIES
POSTAGE & FREIGHT
OTHER OPERATING/OCCUPANCY

N/A	
S	-
S	-
S	-
S	-
N/A	
N/A	
N/A	
N/A	
S	1,085.29
S	-
S	-

Final, Detailed Refinement

[illegible]

Answer Detailed Refinement

100

Explained in Budget Narrative

Patient signed notation:

*SPECIFY COST

*Attach Detailed Itemization

TOTAL	\$	1,085.29
--------------	-----------	-----------------

CONFERENCE WORKSHOP FEES
MEMBERSHIP FEES/DUES
ADVERTISING
OUTREACH
OTHER PROGRAM DEVELOPMENT:

\$	1,989.69
\$	-
\$	-
\$	723.53
\$	-

*SPECIFY COST

*Attach Detailed Itemization

TOTAL	\$	2,713.22
--------------	-----------	-----------------

MILEAGE: (Insert Miles/Rate/Days for Total)
 LODGING/MEALS
 COMMON CARRIER
 ENTERTAINMENT
 OTHER TRAVEL:

		Miles per Month	Rate Per Mile	Number of Mths
\$	3,147.33	456.14	0.575	12
\$	3,907.04			
\$	-			
\$	-			
\$	-	*SPECIFY COST		

*SPECIFY COST

*Attach Detailed Itemization

TOTAL	\$	7,054.37
--------------	-----------	-----------------

NON-EXPENDABLE PROPERTY PURCHASE
NON-EXPENDABLE PROPERTY LEASE
EQUIPMENT LEASES
EQUIPMENT REPAIRS/MAINTENANCE
OTHER EQUIPMENT:

S	361.76
N/A	
S	542.64
N/A	
N/A	

*SPECIFY COST

***Attach Detailed Itemization**

TOTAL	\$	904.41
--------------	-----------	---------------

Other Comments & Information:

CONTRACTOR: Two Hawk Workforce Services

PROGRAM (FUND): Adult

PROGRAM YEAR: PY 2020-2021

PARTICIPANT COSTS

PARTICIPANT EDUCATION COSTS:

	NUMBER OF PARTICIPANTS	COST PER PARTICIPANT	TOTAL
TUITION, BOOKS, FEES & SUPPLIES	100	\$ 1,164.33	\$ 116,433.05
STUDENT SUPPLIES (<i>Ex: Nursing Uniforms</i>)	0	\$ -	\$ -
STUDENT INSURANCE	0	\$ -	\$ -
INSTRUCTIONAL MATERIALS	0	\$ -	\$ -
OTHER:	0	\$ -	\$ -
TOTAL			\$ 116,433.05

PARTICIPANT TRAINING/PAYROLL COSTS:

	NUMBER OF PARTICIPANTS	TOTAL PROG WORK HOURS	RATE PER HOUR	TOTAL	
ADULT (WEX)	11	500	\$ 10.58	\$ 58,216.53	**No OJT's at this time
DISLOCATED WORKER	0	0	\$ -	\$ -	**No OJT's at this time
YOUTH (IN-SCHOOL) 14 - 17	0	0	\$ -	\$ -	
YOUTH (OUT OF SCHOOL) 16-17	0	0	\$ -	\$ -	
YOUTH (OUT OF SCHOOL) 18 -24	0	0	\$ -	\$ -	
OTHER:	0	0	\$ -	\$ -	
TOTAL				\$ 58,216.53	

PARTICIPANT FRINGE BENEFITS:

FICA	\$ 4,558.35	7.83%	
OTHER PAYROLL TAXES	\$ -	0.00%	*Insert percentage rate if applicable
WORKMANS COMPENSATION	\$ -	0.00%	*Insert percentage rate if applicable
HEALTHCARE	\$ -		
OTHER:	\$ -	*SPECIFY COST	*Attach Detailed Itemization
TOTAL	\$ 4,558.35		

PARTICIPANT SUPPORT COSTS:

LIST & DETAIL EACH LINE ITEM:

Supportive Services	\$ 24,742.02	*SPECIFY COST	Explained in Budget Narrative	*Attach Detailed Itemization
	\$ -	*SPECIFY COST	**Transportation Reimbursement not available at this time	*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
TOTAL	\$ 24,742.02			

INDIRECT /PROGRAM COSTS:

	BASE AMOUNT	APPROVED % RATE	TOTAL	
INDIRECT	\$ 239,477.85	10%	\$ 23,947.78	Explained in Budget Narrative
TOTAL			\$ 23,947.78	

TOTAL STAFF & PARTICIPANT PROG COSTS: \$ 468,280.00

PROGRAM PROFIT ALLOCATION:

(*"For-Profit" Program Operators Only*)

\$40,720.00	8.00%	◀Enter Profit %	**Profit added will be reimbursement with monthly program expenditures - not as lump sum from total program funding.
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GRAND TOTAL PROGRAM COST \$ 509,000.00

Comments & Other Information:

Pre-Approved Program Operator Allocation: \$ 509,000.00

Region C Workforce Development Board
WORKFORCE INNOVATION & OPPORTUNITY ACT (WIOA)
BUDGET SUMMARY

CONTRACTOR: Two Hawk Workforce Services

PROGRAM (FUND): Dislocated Worker

PROGRAM YEAR: PY 2020-2021

CONTRACTOR-ADMINISTRATIVE COSTS:

STAFF SALARIES	\$ 79,798.40
STAFF PAYROLL EXPENSE & FRINGE BENEFITS	\$ 16,325.68
OPERATING/OCCUPANCY COSTS	\$ 456.29
PROGRAM DEVELOPMENT	\$ 1,140.72
STAFF TRAVEL	\$ 2,965.88
EQUIPMENT & PROPERTY	\$ 380.24

CONTRACTOR - PARTICIPANT COSTS:

PARTICIPANT EDUCATION COSTS	\$ 48,950.40
PARTICIPANT TRAINING/ PAYROLL COSTS	\$ 24,475.20
PARTICIPANT FRINGE BENEFITS	\$ 1,916.41
PARTICIPANT SUPPORT COSTS	\$ 10,402.08
INDIRECT PROGRAM COSTS	\$ 10,068.70
TOTAL STAFF & PARTICIPANT COSTS	\$ 196,880.00
PROGRAM PROFIT ALLOCATION <i>(For-Profit Program Operators Only)</i>	\$ 17,120.00
GRAND TOTAL PROGRAM COST	\$ 214,000.00

Contractor - Authorized Signature: _____

Date: 3/15/2020

Approved By - Authorized Signature: _____

Date: _____

CONTRACTOR: Two Hawk Workforce Services

PROGRAM (FUND): Dislocated Worker

PROGRAM YEAR: PY 2020-2021

PARTICIPANT COSTS

PARTICIPANT EDUCATION COSTS:

	NUMBER OF PARTICIPANTS	COST PER PARTICIPANT	TOTAL
TUITION, BOOKS, FEES & SUPPLIES	45	\$ 1,087.79	\$ 48,950.40
STUDENT SUPPLIES (Ex: Nursing Uniforms)	0	\$ -	\$ -
STUDENT INSURANCE	0	\$ -	\$ -
INSTRUCTIONAL MATERIALS	0	\$ -	\$ -
OTHER:	0	\$ -	\$ -
TOTAL			\$ 48,950.40

PARTICIPANT TRAINING/PAYROLL COSTS:

	NUMBER OF PARTICIPANTS	TOTAL PROG WORK HOURS	RATE PER HOUR	TOTAL	
ADULT	0	0	\$ -	\$ -	**No OJT's at this time
DISLOCATED WORKER (WEX)	5	500	\$ 9.79	\$ 24,475.20	**No OJT's at this time
YOUTH (IN-SCHOOL) 14 - 17	0	0	\$ -	\$ -	
YOUTH (OUT OF SCHOOL) 16-17	0	0	\$ -	\$ -	
YOUTH (OUT OF SCHOOL) 18 -24	0	0	\$ -	\$ -	
OTHER:	0	0	\$ -	\$ -	
TOTAL				\$ 24,475.20	

PARTICIPANT FRINGE BENEFITS:

FICA	\$ 1,916.41	7.83%		
OTHER PAYROLL TAXES	\$ -	0.00%	*Insert percentage rate if applicable	
WORKMANS COMPENSATION	\$ -	0.00%	*Insert percentage rate if applicable	
HEALTHCARE	\$ -			
OTHER:	\$ -	*SPECIFY COST		*Attach Detailed Itemization
TOTAL	\$ 1,916.41			

PARTICIPANT SUPPORT COSTS:

LIST & DETAIL EACH LINE ITEM:

Supportive Services	\$ 10,402.08	*SPECIFY COST	Explained in Budget Narrative	*Attach Detailed Itemization
	\$ -	*SPECIFY COST	**Transportation Reimbursement not available at this time	*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
	\$ -	*SPECIFY COST		*Attach Detailed Itemization
TOTAL	\$ 10,402.08			

INDIRECT /PROGRAM COSTS:

	BASE AMOUNT	APPROVED % RATE	TOTAL	
INDIRECT	\$ 100,686.98	10%	\$ 10,068.70	Explained in Budget Narrative
TOTAL			\$ 10,068.70	

TOTAL STAFF & PARTICIPANT PROG COSTS: **\$ 196,880.00**

PROGRAM PROFIT ALLOCATION:

(*For-Profit* Program Operators Only)

	\$17,120.00	8.00%	◀Enter Profit %	**Profit added will be reimbursement with monthly program expenditures - not as lump sum from total program funding.
GRAND TOTAL PROGRAM COST	\$ 214,000.00			

Comments & Other Information:

Pre-Approved Program Operator Allocation: **\$ 214,000.00**

5.0 Budget Narrative

BUDGET NARRATIVE: Adult and Dislocated Worker Services

Our budget is formulated based on the goals and objectives we believe are key to being your successful Adult/DW Program Operator—namely objective, professional, business focused approach to overall program management across Region C. We are requesting \$723,000.00 in total program funding (Adult = \$509,000.00; DW = \$214,000.00) as projected in the RFP. These funds are primarily budgeted for staffing the operations, general administrative expenses, and funds supporting participants in the programs. Following is a description and explanation of specifics per each identified budget line item (by name in correspondence with your budget form nomenclature).

Staff Salaries: We have allocated a total of \$269,593.75 for this line item, which is comprised of Adult-\$189,785.35 and DW-\$79,798.40. This amount is to be allocated for the following staff positioning in the program:

- 1 – Adult/Dislocated Worker Operations Manager
(Based in Cleveland County)
- 4 – Adult/Dislocated Worker Career Advisor
(Allocated 2-Cleveland, 1-McDowell, & 1-Rutherford/Polk)
- 1 – Monitor/Quality Assurance*
(Based in Cleveland County)

*The Monitor/QA position will be partially funded by the Adult/Dislocated Worker program (64%) and partially by the Youth program (36%), since this position will provide programmatic monitoring and quality assurance oversight duties across all counties and all programs.

Payroll Expense & Fringe Benefits: This item is primarily allocated to FICA, FUTA, and Workers Comp which are standard and customary payroll costs that we must incur. This line item also includes budgeting for our Health and Dental insurance benefits. The amounts projected in this budget reflect the maximum level of cost per each of the four (4) positions shown. We have to project at the maximum initially as we cannot be certain what election a potential employee will make as to the level of cost that will be incurred. However, if the amount needed, based on individual employee coverage choices, decreases from the amounts shown, the difference can be repositioned to other parts of the overall budget as best prescribed at that point in time.

Operating/Occupancy Costs: Costs in this area of the budget are allocated primarily to Office Supplies. Our experience has shown us there may be instances in which Centers cannot/ do not provide some specific items we need in performance of duties. We are basically budgeting a total amount of \$1,541.58, consisting of Adult-\$1,085.29 and DW-\$456.29. Once we are onsite and engaged, we can better determine if this cost projection is necessary, and if not, we can reassign to other parts of the budget as best utilized.

Program Development: We have allocated a total of \$3,853.94 to this line item, which is focused on Conference Workshop Fees (Adult-\$1,989.69; DW-\$836.53) and Outreach (Adult-\$723.53; DW-\$304.19). Conference fees support staff opportunities to attend the yearly NCWorks Partnership Conference and other professional development events such as the SETA and NCETA conferences, etc. The budget for Outreach is to have some funds available for program outreach efforts, i.e. handouts, flyers, etc.

Staff Travel: The Staff Travel area of our proposed budget totals to \$10,020.25. This accounts for general mileage that will be incurred by staff members along with lodging/meal costs associated with conference attendance. Please be aware that we monitor these particular costs closely, and when run rates/forecasts indicate we may end the year with a surplus amount, we will take steps to reposition any funds to other areas of the budget accordingly.

Equipment/Property: This area has been budgeted for a total of \$1,284.65 for equipment purchases and leases across both Adult and DW programs. Non-Expendable Property encompasses possible needed laptop PC provision for the Operations Manager. Equipment Leases involves the provision of a business cell phone for the Operations Manager to facilitate contact for both staff and providers, etc.

Participant Education Costs: This line item is budgeted at \$165,383.45 which is allotted for participant Tuition, Books, Fees & Supplies. This is in keeping with typical Individual Training Account provisions for WIOA customer participation in Occupational Skills Training, Continuing Ed certifications, etc.

Participant Training/Payroll Costs: We are budgeting a total of \$82,691.73 across both Adult and DW for Work Experience (WEX) contracts. These contracts will follow Region C policy and process and these funds will be utilized to pay WEX participants directly by THWS.

Participant Fringe Benefits: Our budget for this line item is based fully on the standard FICA rate of 7.83% multiplied the total amount in Participant Training/Payroll Costs indicated immediately above.

Participant Support Costs: The budget amount for supportive services is \$35,144.10. This amount does not include transportation services because that is no longer available per the RFP. These amounts will be used to assist participants in their training as the needs may arise. We feel that this falls in line with other areas that provide supportive services to their participants. If these funds for supportive services are not expended, they can be reallocated to other areas of the budget.

Indirect/Program Costs: The indirect cost rate is our standard indirect costs rate for program operations. We use the 10% de minimis rate applied to Modified Total Direct Costs (MTDC) as permitted by 2 CFR 200.414(f) under the Code of Federal Regulations. We do certify that we have never applied or received an Indirect Cost Rate (ICR) which makes us eligible to use the 10% de minimis rate. The 10% de minimis rate will be applied monthly to the actual costs of direct salaries and fringes of Supervisors, Case Managers, and Monitors who directly work the program, along with travel, supplies, and services. The rate will exclude all equipment purchases

and lease costs per federal guidelines. In keeping with the regulations, we charge all our contracts for this cost in this manner due to the fact that we are eligible to choose the de minimis for indirect cost recovery as we have never been assigned an Indirect Cost Rate by a federal entity. In effect, this eliminates us making direct charges for time engaged by our corporate staff and allows us to partially recover other indirect costs we incur in operation.

Program Profit Allocation: Our profit figure is budgeted at eight percent (8%) of the overall budget, which is our normal minimum rate. The profit total amount is \$57,840.00, which based on overall experience, project development history, and risk incurred is both reasonable and customary for similar services of this type. We are aware of your Quarterly Pay for Performance model.

Concluding Comment

This budget has been formulated based on published and projected dollars available. We believe the proposed figures are reasonable and conservative for the task at hand. We also would like to restate our view of all program budgets as living documents that must be closely monitored and based on realities encountered, will at times require minor modifications to ensure programming is addressed in response to needs.

6.0 Fiscal Management Questions

FISCAL MANAGEMENT QUESTIONS

Answer the following questions regarding your fiscal management system. If selected for award of a contract, some items listed below may be required during the pre-award review prior to entering into a contract with Region C.

Yes, No or N/A

1.	Do you have a copy of/access to the WIOA Law, Federal Regulations and subsequent amendments?	YES
2.	Does your accounting system provide you with adequate information to prepare a monthly financial report? (Such report must be derived from a balance sheet and income and expense statements.)	YES
3.	Does your accounting system provide control and accountability over all funds received, property and other assets?	YES
4.	Can your accounting system provide for financial reports on an accrual basis?	YES
5.	Does your accounting system provide for identification of receipt and expenditure of funds separately for each funding source?	YES
6.	Are your accounting records maintained in such a manner as to facilitate the tracking of funds to source documentation of the unit transaction?	YES
7.	Does your accounting system have the capability to develop procedures for determining the allowability and allocability of costs in accordance with the provisions of WIOA regulations?	NO
8.	Are State and Federal funds which are advanced to you deposited in a bank with federal insurance coverage?	YES
9.	Has the bank in which you deposit State and Federal funds insured the account(s) or put up collateral or both, which is equal to the largest sum of money which would be in such bank account(s) at any one point in time during the contract period?	NO-ONLY FDIC LIMIT OF \$250,000
10.	Do you make monthly reconciliation of your bank accounts?	YES
11.	Are these reconciliations made by the same person who performs the record keeping for receipts, deposits and disbursement and transactions?	YES
12.	Do you record daily your cash receipts and disbursement transactions?	YES
13.	Are there individuals or positions in your organization which have, as one of their duties, the receipt, distribution or handling of money covered under bond?	N/A
14.	Is there a person who is responsible for the recording of all financial transactions?	YES
15.	Is there a person who is responsible for the receipt of all purchased goods?	YES
16.	Does this person immediately assign, upon receipt, an inventory number to the required items	N/A
17.	Does this person perform an inventory audit at least once a year?	N/A
18.	Do you maintain records on all property acquisition, disposition and transfers?	N/A

19.	Do you have written procedures and internal controls established for the procurement of goods and services?	YES
20.	Is a competitive bid process incorporated in your purchasing procedures for acquisition of subcontractors, major goods and services, equipment and office space?	YES
21.	Is documentation (i.e., timesheets, etc.) properly kept in support of each payroll disbursement?	YES
22.	Are records maintained to support authorized leave (sick, etc.)?	YES
23.	Is proper documentation maintained to support travel disbursement? (Please provide a copy of travel disbursement policy)	YES
24.	Has a formal audit of your organization's financial records been conducted within the last year?	YES
25.	Is your accounting system bound by any outside agency (city, county, etc.)?	N/A
26.	Do you have an indirect cost plan with current approval by a cognizant agency?	NO
27.	Is your organization funded by more than one source?	YES
28.	Does your organization have written accounting procedures? (If yes, please provide a copy.)	YES
29.	Does your most recent audit have unresolved audit findings?	NO

I certify that the information provided on this form is an accurate and true representation of the fiscal management systems of this organization.

Two Hawk Workforce Services LLC
Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director
Printed Representative Name and Title

7.0 Administrative Management Questions

ADMINISTRATIVE MANAGEMENT QUESTIONS

Answer the following questions regarding your administrative management system. If selected for award of a contract, some items listed below may be required during the pre-award review prior to entering into a contract with Region C.

- | | Yes, No or N/A |
|---|----------------|
| 1. Does your organization have current Articles of Incorporation? | <u>Yes</u> |
| 2. Does your organization have written personnel policies? | <u>Yes</u> |
| 3. Do your written personnel policies contain procedures for: | |
| a. Open employee recruitment, selection and promotional opportunities based on ability, knowledge and skills; | <u>Yes</u> |
| b. providing equitable and adequate compensation; | <u>Yes</u> |
| c. training of employees to assure high-quality performance; | <u>Yes</u> |
| d. retaining employees based on the adequacy of their performance, and for making adequate efforts for correcting inadequate performance; | <u>Yes</u> |
| e. assuring fair treatment of applicants and employers in all aspects of personnel without regard to political affiliation, race, color, national origin, sex, age, disability, religion or creed, with proper regard for their privacy and constitutional rights as a citizen; and | <u>Yes</u> |
| f. assuring that employees are protected against coercion for partisan political purposes and are prohibited from using their official authority for the purpose of interfering with or affecting the result of an election or nomination for office? | <u>Yes</u> |
| 4. Can your organization revise its present written personnel policies to include the above procedures? | <u>Yes</u> |
| 5. Do your written personnel policies contain a prohibition against nepotism? | <u>Yes</u> |
| 6. Do your written personnel policies contain a prohibition against employees using their positions for private gain for themselves or other parties? | <u>N/A</u> |
| 7. Does your organization have an authorized, written travel policy for employees and authorized agents that provides for reimbursement for mileage and per diem at a specified rate? | <u>Yes</u> |
| 8. Does your organization have a written employee grievance procedure to resolve employment complaints? | <u>Yes</u> |
| 9. Does your organization have the capacity or staff to produce and maintain participant records, reports, and other information as needed/ required by Region C? | <u>Yes</u> |

10. If any costs are determined to be disallowed, does your organization have a procedure and source for reimbursing such costs to the Board? Yes
11. Is your organization governed by a Board/Council? Yes
12. Does your organization operate under local rules or by-laws? Yes
13. Has your Board/Council reviewed and approved this proposal? N/A
14. Does your organization have a current approved Fidelity Bond? Yes
15. Does your organization have an Equal Opportunity (EO) Policy? Yes
16. Does your organization have a Complaint or Grievance process? Yes
17. Does your organization have any legal judgments, claims, arbitration proceedings, lawsuits, or other legal proceedings pending against the organization, its owners, or principles? No

I certify that the information provided on this form is an accurate and true representation of the administrative management systems of this organization.

Two Hawk Workforce Services LLC

Organization (proposer)



Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director

Printed Representative Name and Title

8.0 Copy of Two Hawk's Most Recent Audit and Audited Financial Statements

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk
Employment Services, LLC)

Report on Audit of Financial Statements and
Supplementary Information
for the year ended June 30, 2018

MPCCompany LLP
Certified Public Accountants
615 OBERLIN ROAD, SUITE 200
RALEIGH, NC 27605

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MPCompany LLP

Certified Public Accountants

615 Oberlin Road, Suite 200 | Raleigh, North Carolina 27605
Tel (919) 836-9200 | Fax (919) 836-9288 | www.mpcllp.com

J. Micah Pate, III
Angela W. Banask
Thomas M. Doherty
Brian T. Bennett
Alex Lehmann
Michael J. Palazzo, III

Independent Auditors' Report

To the Member
Two Hawk Workforce Services, LLC

Report on the Financial Statements

We have audited the accompanying financial statements of Two Hawk Workforce Services, LLC (a wholly owned subsidiary of Two Hawk Employment Services, LLC), which comprise the balance sheet as of June 30, 2018, and the related statements of operations and member's equity, and cash flows for the year then ended and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Two Hawk Workforce Services, LLC as of June 30, 2018, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying Schedule of Expenditures of Federal Awards is presented for purposes of additional analysis as required by the audit requirements of Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance), and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the Schedule of Expenditures of Federal Awards is fairly stated in all material respects in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated March 7, 2019 on our consideration of Two Hawk Workforce Services, LLC's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Two Hawk Workforce Services, LLC's internal control over financial reporting and compliance.

MP Company LLP

March 7, 2019

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Balance Sheet
June 30, 2018

<u>Assets</u>	
Current assets:	
Cash	\$ 214,108
Government contracts receivable	953,637
Prepaid expenses	9,493
Total current assets	<u>1,177,238</u>
	\$ <u>1,177,238</u>
<u>Liabilities and Member's Equity</u>	
Current liabilities:	
Due to member	\$ 96,006
Accounts payable:	
Trade	126,868
Payroll taxes and withholdings	18,000
Accrued salaries	67,643
Total current liabilities	<u>308,517</u>
Member's equity	<u>868,721</u>
	\$ <u>1,177,238</u>

The accompanying notes are an integral
part of the financial statements.

Two Hawk Workforce Services, LLC
 (A wholly owned subsidiary of Two Hawk Employment Services, LLC)
 Statement of Operations and Member's Equity
 for the year ended June 30, 2018

Government contract revenues	\$ 4,183,312
Government program costs	<u>3,816,012</u>
Gross profit	367,300
General and administrative expenses	<u>34,957</u>
Net income	332,343
Member's equity at beginning of year	1,000
Reclassification of undistributed profits from due to member (Note 7)	<u>535,378</u>
Member's equity at end of year	\$ <u><u>868,721</u></u>

The accompanying notes are an integral
part of the financial statements.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Statement of Cash Flows
for the year ended June 30, 2018

Cash flows from operating activities:	
Net income	\$ 332,343
Adjustments to reconcile net income to net cash provided by operating activities:	
(Increase) decrease in assets:	
Government contracts receivable	(413,976)
Prepaid expenses	(3,634)
Increase (decrease) in liabilities:	
Accounts payable:	
Trade	49,932
Payroll taxes and withholdings payable	2,900
Accrued salaries	41,560
Net cash provided by operating activities	<u>9,125</u>
Cash flows from financing activities:	
Due to Member	<u>(490,579)</u>
Net cash provided by financing activities	<u>(490,579)</u>
Net increase in cash	(481,454)
Cash at beginning of year	<u>160,184</u>
Cash at end of year	\$ <u>(321,270)</u>

The accompanying notes are an integral
part of the financial statements.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Notes to Financial Statements
June 30, 2018

1. ORGANIZATION AND NATURE OF OPERATIONS

Two Hawk Workforce Services, LLC (the Company) provides outsourced program services under the Workforce Innovation & Opportunity Act (WIOA). The Company contracts with various local governmental agencies throughout the state of North Carolina to provide WIOA program services as a sub-recipient. Two Hawk Employment Services, LLC (THES) is named as the sole member of the Company under an operating agreement executed by Harvey Godwin, Jr. the sole organizing member of the Company and the sole member of THES.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting under accounting principles generally accepted in the United States of America.

Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Receivables

All receivables are stated at the amount management expects to collect from outstanding balances. Based on experience, management believes that they are fully collectible. Therefore, no allowance for doubtful accounts has been recorded. In the event that an outstanding balance could not be collected, it would be written down with a charge against bad debt loss and a credit to the receivables balance. Past due status is determined based on contractual terms.

Revenue Recognition

Government contracts represent reimbursement of costs incurred in support of WIOA programs plus negotiated fees for program administration. Receivables under such contracts are recognized to the extent eligible program costs have been incurred, but not yet reimbursed.

Income Taxes

The Company is a limited liability company. Accordingly, under the Internal Revenue Code, all taxable income or loss flows through to its member. Therefore, no income tax expense or liability is recorded in the accompanying financial statements.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Notes to Financial Statements
June 30, 2018

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Advertising Costs

Advertising costs are expensed as incurred and totaled \$272 for the year ended June 30, 2018.

Subsequent Events

The Company has evaluated events and transactions that occurred between June 30, 2018 and March 7, 2019, which is the date the financial statements were available to be issued, for possible recognition or disclosure in the financial statements.

3. OPERATING LEASE

The Company leased office space under an operating lease arrangement that was set to expire August 31, 2018; however, the lease was terminated effective June 30, 2018 and all commitments were paid in full as of June 30, 2018. Early termination rental fees of \$1,150 were included in rent expense for the year ended June 30, 2018. Rental expense associated with this operating lease was \$7,475 for the year ended June 30, 2018.

4. CONCENTRATIONS

Cash is held with one national financial institution. At June 30, 2018, cash deposits of \$156,258 were in excess of federally insured amounts.

At June 30, 2018, government contracts receivable were due from six governmental agencies, and these six governmental agencies accounted for 100% of total revenues for the year ended June 30, 2018.

At June 30, 2018, 19% of accounts payable were due to one vendor.

5. COMMITMENTS AND CONTINGENCIES

Under government contracts, the Company is subject to periodic compliance monitoring reviews by its contracting governmental agencies. Such reviews could result in requests for reimbursement by the contracting governmental agencies for costs which may be disallowed as appropriate expenditures under the terms of its contracts. In management's opinion, the likelihood of an adverse material outcome upon its financial position from those compliance monitoring reviews is remote.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Notes to Financial Statements
June 30, 2018

6. RELATED PARTY TRANSACTIONS

Under an informal non-interest bearing arrangement, the Company routinely borrows cash funds from Two Hawk Employment Services, LLC to temporarily fund operations until reimbursements are received from contracting governmental agencies. At June 30, 2018, \$96,006 was due to Two Hawk Employment Services, LLC and is included under the caption "Due to member" on the accompanying balance sheet.

Certain program administrative overhead and occupancy costs incurred are reimbursed to Two Hawk Employment Services, LLC. During the year ended June 30, 2018, the Company paid Two Hawk Employment Services, LLC \$379,470 for these program costs.

General and administrative expenses and program costs totaling \$41,441 were incurred by Two Hawk Employment Services, LLC on behalf of the Company during the year ended June 30, 2018. These amounts are included in the "Due to member" on the accompanying balance sheet at June 30, 2018 as they have yet to be reimbursed.

7. RECLASSIFICATION

During 2018 the Company did not distribute cumulative profits to its Member. Amounts were retained in the Company in order to fund operations. As such management reclassified \$535,378 of cumulative profits from "Due to member" to "Member's equity."



MPCompany LLP

Certified Public Accountants

615 Oberlin Road, Suite 200 | Raleigh, North Carolina 27605
Tel (919) 836-9200 | Fax (919) 836-9288 | www.mpcllp.com

J. Micah Pate, III
Angela W. Banask
Thomas M. Doherty
Brian T. Bennett
Alex Lehmann
Michael J. Palazzo, III

**Report on Internal Control Over Financial Reporting and on Compliance and Other Matters
Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing
Standards***

Independent Auditors' Report

To the Member
Two Hawk Workforce Services, LLC

We have audited in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of Two Hawk Workforce Services, LLC (a wholly owned subsidiary of Two Hawk Employment Services, LLC), which comprise the balance sheet as of June 30, 2018, and the related statements of operations and member's equity, and cash flows for the year then ended, and the related notes to the financial statements and have issued our report thereon dated March 7, 2019.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered Two Hawk Workforce Services, LLC's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Two Hawk Workforce Services, LLC's internal control. Accordingly, we do not express an opinion on the effectiveness of Two Hawk Workforce Services, LLC's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Two Hawk Workforce Services, LLC's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of This Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

MPC Company LLP

March 7, 2019



MPCompany LLP

Certified Public Accountants

615 Oberlin Road, Suite 200 | Raleigh, North Carolina 27605
Tel (919) 836-9200 | Fax (919) 836-9288 | www.mpcllp.com

J. Micah Pate, III
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Thomas M. Doherty
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Alex Lehmann
Michael J. Palazzo, III

**Report on Compliance for Each Major Federal Program and Report on Internal Control Over
Compliance in Accordance with the Uniform Guidance**

Independent Auditors' Report

To the Member
Two Hawk Workforce Services, LLC

Report on Compliance for Each Major Federal Program

We have audited Two Hawk Workforce Services, LLC's (a wholly owned subsidiary of Two Hawk Employment Services, LLC) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Compliance Supplement* that could have a direct and material effect on each of Two Hawk Workforce Services, LLC's major federal programs for the year ended June 30, 2018. Two Hawk Workforce Services, LLC's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of Two Hawk Workforce Services, LLC's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about Two Hawk Workforce Services, LLC's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of Two Hawk Workforce Services, LLC's compliance.

Opinion on Each Major Federal Program

In our opinion, Two Hawk Workforce Services, LLC complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2018.

Report on Internal Control over Compliance

Management of Two Hawk Workforce Services, LLC is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered Two Hawk Workforce Services, LLC's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program as a basis for designing auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of Two Hawk Workforce Services, LLC's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that were not identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

MPC Company LLP

March 7, 2019

Two Hawk Workforce Services, LLC
Schedule of Findings and Questioned Costs
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
for the year ended June 30, 2018

Section I. Summary of Auditors' Results

Financial Statements

Type of auditors' report issued:

Unmodified

Internal control over financial reporting:

Are any material weaknesses identified?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are any significant deficiencies identified?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is any noncompliance material to financial statements noted?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Federal Awards

Internal control over major federal programs:

Are any material weaknesses identified?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are any significant deficiencies identified?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Type of auditors' report issued on compliance for major federal programs:	Unmodified	
Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Identification of major federal programs:

CFDA Number

Name of federal program or cluster

17.258 / 17.278 / 17.259

Workforce Innovation & Opportunity Act – Adult and Dislocated Workers Programs and Youth Activities Cluster

Dollar threshold used to distinguish between type A and type B programs:

\$750,000

Auditee qualified as a low-risk auditee?

☐ Yes ☒ No

Two Hawk Workforce Services, LLC
Schedule of Findings and Questioned Costs
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
for the year ended June 30, 2018

Section II. Financial Statement Findings

None.

Section III. Federal Awards Findings

None.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Schedule of Expenditures of Federal Awards
for the year ended June 30, 2018

Federal Grantor / Pass-through Grantor / Program or Cluster Title	Federal CFDA Number	Pass-through entity identifying number	Expenditures
<u>U. S. Department of Labor</u>			
Workforce Innovation & Opportunity Act (WIOA) Cluster:			
<i>Passed through Lumber River Council of Governments:</i>			
WIOA Adult Program	17.258	44-17-5498-Ad/DW	\$ 1,130,472
WIOA Dislocated Workers Program	17.278	44-17-5498-Ad/DW	586,696
<i>Passed through Gaston County Department of Health & Human Services, Social Services Division:</i>			
WIOA Adult Program	17.258	2015-203-1	339,976
WIOA Dislocated Workers Program	17.278	2015-203-1	310,328
<i>Passed through Central Carolina Community College / Triangle South Workforce Development Board:</i>			
WIOA Adult Program	17.258	UNKNOWN	385,070
WIOA Dislocated Workers Program	17.278	UNKNOWN	237,158
<i>Passed through Cape Fear Council of Governments:</i>			
WIOA Adult Program	17.258	17-2020-33-8870	155,130
WIOA Dislocated Workers Program	17.278	17-2030-33-8870	152,370
<i>Passed through Upper Coastal Plain Council of Governments / Turning Point Workforce Development Board:</i>			
WIOA Adult Program	17.258	9-2020/2030-21-4825-01/03	351,648
WIOA Dislocated Workers Program	17.278	9-2020/2030-21-4825-01/03	230,442
<i>Passed through Cumberland County:</i>			
WIOA Adult Program	17.258	2018129	73,973
WIOA Dislocated Workers Program	17.278	2018129	73,973
WIOA Youth Activities	17.259	2018129	73,972
Total WIOA Cluster / U.S. Department of Labor			<u>4,101,208</u>
Total Expenditures of Federal Awards			\$ <u><u>4,101,208</u></u>

The accompanying notes are an integral
part of this schedule.

Two Hawk Workforce Services, LLC
(A wholly owned subsidiary of Two Hawk Employment Services, LLC)
Notes to Schedule of Expenditures of Federal Awards
for the year ended June 30, 2018

1. BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards (the "Schedule") includes the federal award activity of Two Hawk Workforce Services, LLC under programs of the federal government for the year ended June 30, 2018. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Because the Schedule presents only a selected portion of the operations of Two Hawk Workforce Services, LLC, it is not intended to and does not present financial position, operations, or cash flows of Two Hawk Workforce Services, LLC.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Expenditures reported on the Schedule are reported on the cash basis of accounting. The cash basis used by management differs in many respects from accounting principles generally accepted in the United States of America as detailed below:

- (a) the acquisition of property and equipment is shown as an expense, which means that depreciation expense is never shown as such, nor is there ever a gain or loss to recognize on the disposal of property and equipment during its estimated useful life.
- (b) this schedule does not recognize prepaid expenses; rather, payments made in advance are shown as expenses in the reporting period in which the cash disbursement took place.
- (c) this schedule does not recognize accruals for expenses; rather, the expense is recognized in the reporting period in which the cash disbursement took place.
- (d) no accrual has been made for unpaid paid time off even though such time has vested; instead, the expense is recognized in the period the paid time off is actually used.

Expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Pass-through entity identifying numbers are presented where available.

3. INDIRECT COST RATE

Two Hawk Workforce Services, LLC has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance. As a commercial for-profit contractor, Two Hawk Workforce Services, LLC charges a predetermined fixed fee under each WIOA contract which is approved by each respective passed through entity.

4. SUBRECIPIENTS

Two Hawk Workforce Services, LLC has not contracted or passed federal awards to any subrecipients.

9.0 Assurances, Certifications, & Other Required Forms

ASSURANCES and CERTIFICATIONS

Assurances and Certifications are to be signed by authorized signatory and will be included with the RFP and signed contract where applicable.

1. That it will fully comply with the requirements of the Workforce Innovation and Opportunity Act (WIOA); all federal regulations issued pursuant to the Act; policies issued through the Division of Workforce Solutions; and local workforce policies of the Region C Workforce Development Board;
2. That it will designate appropriate job titles for staff who work with WIOA participants and detailed job descriptions will be available for each job title. These job titles will consistently be used with external customers;
3. That it will maintain customer files according to local area policies and guidance;
4. That it will not place participants in WIOA subsidized work experiences which are designed to maintain the employers' place of business;
5. That it will administer the program in full compliance with safeguards against fraud and abuse as set forth in the law and regulations;
6. That no portion of its program will in any way discriminate against, deny benefits or employment to, or exclude from participation any person on the grounds of race, color, national origin, religion, age, sex, disability, sexual orientation, or political affiliation, or any other non-relevant factor;
7. That it will house WIOA service provider staff at the local NCWORKS Career Center of each county to the greatest extent possible for which it receives a contract and will accept all associated roles and responsibilities; (In-School services may not be applicable to provision in a NCWorks Career Center.)
8. That it will operate the program in full compliance with health and safety standards established under state and federal law and that conditions of employment and training will be appropriate and reasonable in light of such factors as the type of work, geographical area, and proficiency of the participant;
9. That ineligible applicants will be referred to other appropriate services, including the career services available at the Career Center;
10. That other available financial resources will be utilized prior to using WIOA funds;
11. That all participants employed by the program who are not covered under state workers' compensation laws and all participants enrolled in classroom training shall be provided with adequate on-site medical/accident insurance;
12. That all individuals in subsidized jobs be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills; (In no event shall the rate be less than the applicable Federal, State or local minimum wage law.)
13. That all WIOA customers participating in on-the-job training activities or individuals employed in other activities under the Workforce Innovation & Opportunity Act be compensated at the same rates, including periodic increases and working conditions, as trainees or employees who are similarly situated in similar positions by the same employer and who have similar training, experience, and skills and such rates shall be accordance with applicable law as referenced in the Act at Section 181 (a). In no event shall the wage be less than the applicable State or local minimum wage law;
14. That no participant will be employed to fill a job opening when any other person is on layoff from same or equivalent job, or when employer terminates the employment of any regular employee or otherwise reduces its workforce with the intention of filling vacancies with WIOA participants;
15. That no WIOA funds will be used for contributions on behalf of any participant to retirement systems or plans; to impair existing contracts for services for collective bargaining agreements; to assist, promote, or deter union activities; or to displace any currently employed worker;
16. That reports to the Region C Workforce Development Area will be provided in a timely fashion, as requested;
17. That all required information will be keyed into the MIS system, www.ncworks.gov, in accordance with any State or local Workforce area policy, both in terms of content and timeframe expectations;
18. That eligibility verification will be completed and documented in accordance with federal and state policy;
19. That participant loans will not be made from WIOA funds;

20. That total project costs will not exceed the amount of funds allocated in the WIOA contract or subsequent amendments;
21. That it will coordinate training site visits by the Workforce Development Area staff and Workforce Development Board members on request and will fully cooperate with monitoring reviews and other site visits by any representative of the Workforce Innovation and Opportunity Act (WIOA);
22. That employees paid from WIOA funds will not participate in sectarian religious activities in the execution of their job duties;
23. That WIOA funded staff will abstain from displaying partisan political literature in work environments and that it will comply with other provisions of the Hatch Act, which limits political activity of employees paid from government funds, including WIOA;
24. That it will, in carrying out the contract, refrain from activities involving either actual or the appearance of conflict of interest (NC-GS-234);
25. That it will adhere to the North Carolina records retention policy and all WIOA financial and programmatic records will be maintained for a minimum of five years;
26. That it will have an annual single audit performed in accordance with current federal regulations and that upon receipt of completed audit, contractor will submit a copy to the Workforce Development Area within thirty days unless a longer period is agreed to;
27. That it will comply with Title VI of the Civil Rights Act of 1964 (PL 88-352);
28. That it will comply with the nepotism provisions as they relate to federally funded programs;
29. That it will comply with the Immigration Reform and Control Act of 1986 by ensuring that an I-9 form will be completed for each WIOA funded employee(s) and each participant receiving WIOA funded wages;
30. That it will comply with the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (PL 91-646) which requires fair and equitable treatment of persons displaced as a result of federally assisted programs;
31. That the organization is not debarred, suspended, proposed for debarment, or declared ineligible from participation in this project;
32. That it does not use federal funds for lobbying purposes (29 CFR Part 93). If lobbying has occurred utilizing other than federal funds, the contractor agrees to file a disclosure report, if applicable;
33. For grants, contracts, and subcontracts in excess of \$100,000, or where the Division of Workforce Solutions has determined that orders under an indefinite quantity agreement in any year will exceed \$100,000, or if a facility to be used has been the subject of a conviction under the Clean Air Act (42 USC 1319 (c)) and is listed by the Environmental of the proposed grant is on the EPA List of Violating Facilities; and (2) prior to award, it will notify the Division of the receipt of any communication from the Director of Federal Activities, USEPA, indicating that a facility to be used for a contract is under consideration to be listed.
34. That no funds described will be used to develop or implement education curricula for school systems in the state;
35. That no WIOA Funding will be used for sectarian activities;
36. That no WIOA funds will be used to encourage or induce the relocation of a business as referenced in Section 181 (D)(1);
37. That no WIOA funds will be used for customized or skill training and related activities after the relocation of a business until after 120 days has passed as referenced in Section 181(D)(2);
38. That no WIOA funds will be used for employment generating activities, economic development activities and similar activities that are not directly related to training for eligible individuals as referenced in Section 181(e);
39. That no WIOA funds will be used for foreign travel as referenced in Section 181(e);
40. That no WIOA funds will be used to duplicate services available in the area;
41. That participants will not be charged fees for placements or referrals as referenced in Section 195(5);
42. That no WIOA financial assistance will be provided to any program that involves political activities as referenced in Section 195 and the contractor agrees to comply with the provisions of the Hatch Act;
43. That all WIOA participants and WIOA funded staff are aware of grievance procedures.

44. That at least 75% of WIOA youth funds will be expended for enrolling and serving out of school youth and at least 20% of WIOA youth funds will be expended on work based learning activities for both out school and in school youth.
45. E-VERIFY. CONTRACTOR shall comply with the requirements of Article 2 of Chapter 64 of the General Statutes. Further, if CONTRACTOR utilizes a subcontractor, CONTRACTOR shall require the subcontractor to comply with the requirements of Article 2 of Chapter 64 of the General Statutes.

Two Hawk Workforce Services LLC

Organization (proposer)



Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director

Printed Representative Name and Title

STATEMENT OF COMPLIANCE

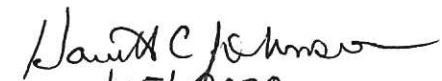
I hereby certify:

1. That the proposer is duly approved to submit this application requesting funding under the WIOA.
2. That the proposer does hereby agree to execute all work related to this application in accordance with the WIOA grant, the NC Division of Workforce Solution policies, REGION C WDB policies and guidelines, and other administrative requirements issued by the Governor of North Carolina. The vendor shall notify the REGION C WDB within 30 calendar days after issuance of any amended directives if it cannot so comply with the amendments; and
3. That the proposer will ensure special efforts to prevent fraud and other program abuses, such as but not limited to, deceitful practices, intentional misconduct, willful misrepresentation and improper conduct which may or may not be fraudulent in nature; and
4. That the contents of the application are truthful and accurate and the above named vendor agrees to comply with the policies stated in this application; and
5. That this application represents a firm request subject only to mutually agreeable negotiations; and
6. That the proposer is in agreement that the REGION C WDB reserves the right to accept or reject any proposal for funding; and
7. That the proposer has not been debarred or suspended from receiving federal grants, contracts, or assistance; and that if awarded a contract for the service, assures that no sub-contracts, grants or assistance will be made, or permitted to any debarred or suspended organization as provided under Executive Order 12549.

TWO HAWK WORKFORCE SERVICES
Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director
Typed Name/Title


03/15/2020
Notary Name/Date
MCC - 6/14/2022

Affix Notary Seal

**CERTIFICATE REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY and
VOLUNTARY EXCLUSION**

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participants' Responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (Pages 19160-19211).

(BEFORE COMPLETING THE CERTIFICATION, READ THE ATTACHED INSTRUCTIONS
WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)

1. The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
2. Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

TWO HAWK WORKFORCE SERVICES

Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director
Printed Representative Name and Title

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by the following:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:
- Place(s) of Performance (street address, city, county, state, zip code):
- Rutherford County NC Works Career Center
223 Charlotte Road, Rutherfordton NC 28139
- Cleveland County NC Works Career Center
404 East Marion St., Shelby, NC 28150
- McDowell County NC Works Career Center
316 Baldwin Avenue, Marion, NC 28752
- Check ☐ if there are workplaces on file that are not identified here.

Two Hawk Workforce Services LLC
Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director
Printed Representative Name and Title

INSTRUCTIONS FOR CERTIFICATION-LOWER TIER TRANSACTIONS

- By signing and submitting this proposal, the prospective recipient of federal assistance funds is providing the certification as set out below.
- The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
- The prospective recipient of federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- The prospective recipient of federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
- The prospective recipient of federal assistance funds further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to check the List of parties Excluded from Procurement or Non-procurement Programs.
- Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is

suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other

remedies available to the federal government, the DOL may pursue available remedies, including suspension and/or debarment.

Two Hawk Workforce Services LLC

Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director

Printed Representative Name and Title

Equal Opportunity and Nondiscrimination

During the performance of this contract, the contractor agrees as follow:

The contractor will comply fully with the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA); including the Nontraditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Americans with Disabilities Act of 1990; as amended; the Age of Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including but not limited to 29 CFR Part 34. The United States has the right to seek judicial enforcement of this assurance.

The contractor will not discriminate against any employee or applicant for employment, or program applicant/participant because of race, color, age, religion, sex, disability, national origin or political affiliation or belief. The contractor will take affirmative action to ensure that applicants are employed/selected and that participants and employees are treated during their period of employment/participation without regard to their race, color, age, religion, sex, disability, national origin, political affiliation or belief. Such action must include, but not limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of the non-discrimination clause.

The contractor will, in all solicitations or advertisements for employees or participants placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, age, religion, sex, disability, national origin, political affiliation or belief.

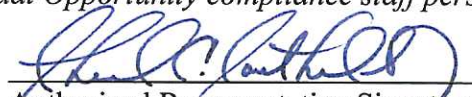
The contractor will permit access to any contract-related books, records and accounts by the contracting agency, the State and the US Secretary of Labor for purposes of investigation to ascertain compliance with applicable rules, regulations and orders.

In the event of the contractor's non-compliance with the non-discrimination clauses of this contract with any such rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further government contracts and such other sanctions may be imposed and remedies invoked as provided by rules, regulations and orders of the Secretary of Labor, or as otherwise provided by law.

The WIOA contractor shall designate its Equal Opportunity compliance staff person.

Two Hawk Workforce Services LLC

Organization (proposer)


Authorized Representative Signature

Sherwood C. Southerland, Jr. - Director

Printed Representative Name and Title